



MINISTRY OF AGRICULTURE NATURAL RESOURCE SECTOR

GUIDELINE FOR PARTICIPATORY FOREST MANAGEMENT IN ETHIOPIA



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The materials and views expressed in this guideline are the sole responsibility of the authors and the publisher and shall in no way be taken to reflect the views of the European Union Delegation to Ethiopia.



FOREWORD

Participatory Forest Management is captured worldwide as one option for sustainable forest management through active involvement of the community. It was with this context that PFM in Ethiopia has been taking place since the mid 1990s through the pilot projects implemented, primarily by non-governmental organizations (NGOs) such as FARM-Africa/SOS Sahel Ethiopia in close collaboration with the regional governments of Oromia and the Southern Nations, Nationalities and Peoples Regional States (SNNPR). Initially, these pilot PFM projects were implemented in selected forest sites with the support of NGOs in close collaboration with regional governments. In this regard, Chilimo forest was identified in 1995 for implementation of PFM initiatives in Oromia and similarly, in 1996 the Bonga forest was brought under PFM in SNNPR through FARM-Africa /SOS Sahel. The success stories of these two forest sites, which were brought under PFM served as basis for the decision made by the Oromia Regional State and engaged itself in implementing PFM with SOS Sahel, the Borana Collaborative Forest Management Project (1999).

Practical experiences, and lessons learnt from the past pilot PFM initiatives in Ethiopia, have proven that the communities in and around forested areas can be part of the solution for reducing deforestation and regeneration of forest resources. These practical experiences gained within Ethiopia and elsewhere, have repeatedly shown that the participation of the communities in the negotiation and drafting of the forest management, conservation and use plans strongly contributes to create community ownership of the programme and ensure community involvement at all stages of forest resource management through Participatory Forestry Management approach, which is believed to be the crucial element for sustainable forest management.

The Scaling- up Participatory Forest Management project is therefore, developed with the overall objective to improve forest condition and forest- based livelihood options through enhanced capacity of both government institutions at all levels and the beneficiary communities to effectively and efficiently scale up best management practices in the area of PFM and NTFP development. In this respect, the Ministry of Agriculture is taking the lead and coordination role of PFM harmonization process in Ethiopia. This harmonized PFM guideline is,

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therefore, an important output of the coordinated efforts of all key PFM actors and the SUPFM Coordination Unit with MoA. It is appreciated to see that PFM is captured as an important option for sustainable forest management, which is being implemented in selected regions of Ethiopia under the overall guidance of the NRMD with the direct involvement of the Forest Case Team.

It is my pleasure to thank all actors who were actively involved for the successful completion of this publication and strongly supporting the SUPFM project. It is my great pleasure also to extend my thanks to the European Union for the financial support provided for the implementation of the Scaling-up PFM project in Ethiopia through which the publication activity of this guideline is materialized.

This PFM guideline is an important step ahead and a significant achievement of the PFM harmonization process. It is hoped that the guideline will rapidly be adapted by all PFM actors both government institutions and NGOs working in Ethiopia for further scaling-up of PFM activities. The guideline provides a general framework for PFM approach and has a flexibility nature to accommodate site specific issues based on the socio-economic set up and natural environment of the intervention sites across the country. The guideline shall be updated periodically based on the lessons learnt from practical field experiences and new research findings that could be captured in the area of PFM.

Sileshi Getahun



State Minister, Ministry of Agriculture

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Acronyms/Abbreviations

BoA	Bureau of Agriculture
CBNRM	Community-based Natural Resources Management
CBOs	Community-based Organizations
CFM	Collaborative Forest Management
cm	centimeter
EWNRA	Ethio-Wetlands Natural Resources Association
FDRE	The Federal Democratic Republic of Ethiopia
FMA	Forest Management Agreement
FMC	Forest Management Committee
FMGs	Forest Management Groups
FMP	Forest Management Plan
GIZ	German International Technical Cooperation
JFM	Joint Forest Management
JICA	Japan International Cooperation Agency
M ²	square meter
M ³	cubic meter
M ³ /ha/yr	cubic meter per hectare per year
MoA	Ministry of Agriculture
NGOs	Non-Governmental Organizations
NRMD	Natural Resources Management Directorate
NRS	Natural Resource Sector
NTFP	Non-Timber Forest Product
PFM	Participatory Forest Management
PFRA	Participatory Forest Resource Assessment
PLCs	Private Limited Companies
PM&E	Performance-based Monitoring and Evaluation
SNNPR	Southern Nations, Nationalities and People's Region
SUPFM	EU funded Scaling-up Participatory Forest Management

BACKGROUND

Promoting participatory forest management (PFM) should be considered as a process, a cycle of working in partnership for planning, implementation, monitoring and learning to continuously improve the practice of forest management and provision of services to improve the wellbeing of rural people. Therefore, this guideline is primarily a 'process -oriented' guideline to support planning, implementation, and monitoring of PFM. Consequently, it attempts to convey 'what to do' and 'how to do it' in a more simplified approach that is easy to be applied at grass root level by development agents and the communities.

This guideline is based on the existing PFM guidelines, which were prepared and in use by different organizations, and attempted to harmonize and instill their essence into simpler terms and steps. The aims are to assist practitioners and planners with a framework to guide the process in assisting individuals, groups and communities with the management of forest resources. This harmonized PFM guideline, is referred to as a consolidated guideline developed to provide a framework to direct forest extension service providers at all levels and non-governmental organizations with a transparent and generalized tool to assist the establishment and successful implementation of PFM. The guideline is produced by the overall coordination and financial support of the Federal Ministry of Agriculture, Natural Resources Management Directorate through the Scaling-up Participatory Forest Management project (MoA, NRMD/SUPFM), of course, in close consultation with key sector practitioners. This guideline would be adapted by all PFM actors and it will be periodically updated by taking into account the practical field experiences and new research findings in the area of PFM.

PURPOSES OF THE GUIDELINE

PFM process in the Ethiopian context has been tailored by different actors together with the forestry services, particularly at regional level during the piloting phase. The PFM process that was adopted by different organizations has proved to be effective in different environmental and socio-economic settings. This guideline draws on practical experiences so far gained on establishment and implementation of PFM in Ethiopia. This guideline is aimed to consolidate the different approaches of PFM being introduced in the country and come up with

more refined and simplified approach that could easily be taken up by key PFM actors and scaled up in their working areas in order to be consistent and maintain synergy between different initiatives. The guideline is primarily compiled for forestry extension workers who facilitate PFM planning process in their locality and for woreda and zonal forestry professionals to facilitate establishment and implementation of PFM. It is also helpful to academic institutions to equip their students with PFM implementation approach and to carry out research activities to improve the process of PFM to effectively and efficiently implement it in different areas of the country with various socio-economic set up and geographic locations.

This guideline describes the key elements of PFM. The guideline is designed in such a way so that the user can make easy and quick reference to specific step and topics in the PFM process. In the guideline, illustrated and discussed the more simplified approach that could be adapted and used by different stakeholders who are actively being involved in PFM implementation, of course, by taking into consideration specific environmental factors, technical capacity and socio-economic settings where PFM is to be implemented.

DEFINITION OF FREQUENTLY USED TERMS AND CONCEPTS

Benefit sharing refers to appropriation of benefits in cash or in kind between agreeing parties based on roles played or agreed norms while **revenue sharing refers to** sharing of cash as income from sale of forest products, share of stumpage value, trophy hunting, NTFPs etc between agreeing parties.

Empowerment refers to a mechanism of enabling weaker social groups such as poor households and women to take part in planning and influence decision making.

Equity is a fair (not necessarily equal) distribution of benefits, costs and power.

Gender is a socio-cultural 'construct' – a way of perceiving - that refers to the characteristics, attitudes, and beliefs of the male and female (men and women or boys and girls) members of a given society.

Interest groups are forest users who share the same forest uses, views and problems. Forest users may also include primary and secondary users.

PFM planning process is the process through which the PFM plan and agreement is developed.

PFM is an umbrella name for a process and mechanism which enables community groups living in and around forests to take part in the management of the forest resources. Joint Forest Management (JFM), Community based Forest Management (CBFM) and Collaborative Forest Management (CFM) all denote a similar process and management arrangement which sometimes differs based on the type of forest ownership, whether it is communal forest or state forest and involves two or more stakeholders.

Power is dynamic and multidimensional and is changing according to context and in the case of PFM is the degree of decision making and control over resources while power sharing is the sharing of decision making and resources for the betterment of the society.

Rights define the entitlement to use a resource and may include access rights, exclusion and management rights and transfer rights. It may be legal or customary and different types can overlap and co-exist. Use Rights and ownership rights are different, for example, the state has ownership right and the community has use rights over the forest.

Responsibilities are obligations, which apply and tied to those rights.

Management investment or **costs** may be in cash, labor, effort or forgoing some benefits. PFM will only succeed where the perceived benefits of management outweigh management costs, and there should be a combination of short and long term benefits.

Stakeholders are people or organizations with an interest in the forest.

Trust in people or organization or state refers to the degree of confidence in or predictability of behavior of the party to be trusted.

PARTICIPATORY FOREST MANAGEMENT: WHAT IT IS AND WHY PRACTICE IT?

Participatory Forest Management (PFM), as it stands today in Ethiopia, is a management regime aimed at achieving better and sustainable forest development through balancing conservation and utilization by mobilizing, organizing, participating and transferring management responsibilities to local communities living in and around forest areas where resources are linked directly. It is, therefore, characterised to critically involve those communities and giving them clear responsibilities in forest protection and management aspects ensuring user rights of the available resources. Few NGOs championed the introduction, expansion and experimentation of PFM approaches in Ethiopia. Prominent agents are FARM-Africa/SOS Sahel, GIZ/AMBERO-GITEC, Ethio-Wetlands Natural Resources Association (EWNRA) and Japan International Cooperation Agency (JICA). In particular FARM-Africa/SOS Sahel have supported and financed several PFM and CBNRM projects in Ethiopia for the last decades. However, in the conventional approach for forest management and conservation efforts excluded locals from taking active part and involvement in the management regime. The worst is that locals were observed as destroyers and encroachers rather than partners that can play significant role in the conservation and sustainable management of forest resource.

Hence, the communities were excluded both from taking part in management as well as benefit sharing arrangements. However, such exclusion has rather exacerbated forest resource degradation and proved difficult to sustain as well as costly to maintain the system. A paradigm shift was then needed whereby locals should be part of the solution in the efforts to manage and conserve forests and their biodiversity. More experience has now been gained from implementing this new approach to the forestry sector in Ethiopia. Participatory forest management is now considered an effective approach to encourage sustainable management of forest resource as well as support the sustainable livelihoods of forest-dependent communities. It promotes the need and the crucial role of community involvement in decision making processes (active involvement of communities at all stages of implementation, i.e.; familiarization, being organized in community-based institutions, demarcation and resource assessment, planning and implementation of the management plan as agreed) over the management of forest resources on sustainable basis, which aim at alleviating poverty by improving rural livelihoods; promoting more effective and efficient management

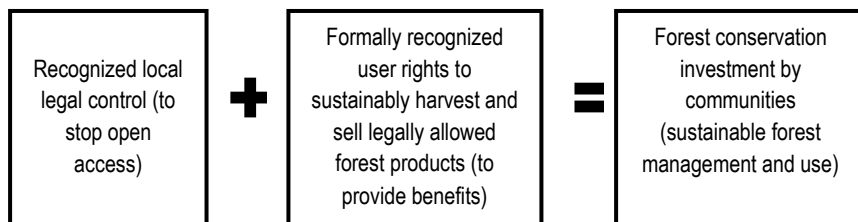
over forest resources; more sustainable land management; developing partnerships between rural people, state, civil society and private sector; as well as providing a mechanism to solve potential conflicts over control and flows of natural resources in rural areas.

UNDERPINNING GUIDING PRINCIPLES OF PFM

Communities as forest managers: PFM, JFM and CBNRM are different forms of partnership between the Government Forest Service and a Community Forest Management Group. It is a working partnership, where each party is dependent on the other. This requires changes in the activities and roles of both community forest managers and forestry professionals. Dominantly, the roles played by communities are part of management roles and responsibilities to effectively manage a given forest resources, be it a natural forest or plantation forest owned by the state or community. In return for these roles and efforts, communities receive a range of concrete benefits, such as rights to harvest forest products, share revenue from forest harvesting, and retain fines as well as confiscated materials/produce, etc. The role of the forestry service is usually provision of technical and administrative support to community groups in order to sustainably manage the resources. The key principle in this partnership is trust by communities that their local control and user rights will be respected and supported by the government and, on the other hand, this will establish trust by the government institutions at all levels that with more user rights, communities won't over exploit the forest resource, rather they will actively participate in the development and utilization of the forest resource, which is fundamental for forest resource conservation and sustainable management in order to improve the living standard of the rural communities.

Securing current and future rights of participating communities: The key incentive to sustain participatory forest management is to secure current forest use rights such as access to forest, the right to enter a defined physical property, Withdrawal rights- the right to obtain the products and benefits of a resource, Management right -the right to regulate resource use patterns and transform the resource by making improvements, and Exclusion rights- the right to determine who may have access, transfer rights - the right to transfer the rights to other people either in the form of gift, sale, rent etc and legally securing these rights in the future will provide an incentive for community groups to be involved and maintain participation in decision making process. Securing these rights in simple

terms can be summarized as recognizing local legal control to get rid of open access by having legal control over the forest and granting user rights to harvest products sustainably and openly and legally sell forest products. This could be presented in this simplified PFM equation:



PFM/JFM/CBFM can be applicable as management option to all kinds of natural resources, forest land, rangeland and wetlands– those which are rich or poor in biodiversity, intact or degraded, large or small, moist montane, woodland or mangrove, manmade or natural forest. What is important to understand is that the two agreeing parties (government and the community) or if it is on communal land the “*Goth*” or “*Kebele*” community needs to agree to share management responsibility and the benefits that could be derived from the forest resource.

PFM can be integrated: PFM/JFM planning and implementation process/approaches can be integrated with other biodiversity conservation approaches such as biosphere reserves, watershed management approaches and others. The management regime may be protection or production or a combination of both.

Communities as the target population for PFM/JFM/CBFM: ‘Local people’ or ‘community’ in this context means those who live within the forest or those living next to the forest boundary and those community groups who have traditional/historical relationship with the forest and their closeness to the forest makes them the people best able to sustainably manage the forest. Usually, those who are not close to the forest are secondary stakeholders.

Communities as decision makers' not just protectors: ‘Management’ in PFM/JFM/CBNRM includes all aspects of forest management such as forest protection, regulation of access and use of the forest, and actions to rehabilitate

or develop the productive capacity of the forest. It includes not just the practical responsibilities of management but the authority to make decisions, which guide those operations. PFM has two main objectives, environmental sustainability and economic sustainability, meaning livelihood improvement of the participating community. To attain these objectives PFM process builds upon the national policy and regulations to enable local participation in forest management and the real need to bring control and management to more practical local levels. It aims to secure forests through sharing the right to control and manage them, not just the right to use or benefit from them. Therefore, PFM targets communities *not* as passive beneficiaries but as forest managers. This will establish mutual understanding and trust among community groups and implementing government institutions and/or other development partners.

The changing role of forestry staff: Traditionally forestry staffs have had a role as “policemen” around forest areas. Changing the roles of professional foresters is a key to determining the success of PFM. The role of the professional forester in PFM is radically different to the roles and tasks of the traditional professional forester. The success of PFM largely depends on the technical and administrative support provided to the community groups. The PFM planning process relies upon foresters as facilitators (encouraging, supporting, coordinating, linking and guiding). In the process the relationship of the foresters with the community changes from a policing role to:

- technical adviser to the community – giving practical technical information or advice;
- liaising between community and woreda offices, the judiciary and administration offices in forestry matters;
- liaising between community groups and other livelihood development agencies working in the area;
- mediator (as needed) between PFM communities or groups;
- coordinator- linking up different villagers and actors with each other;
- negotiators of forest management rules and regulations;
- monitors of PFM processes and forest management agreements;
- analysts of forest management problems; and
- generators of new technologies and innovations.

In the process, the main learning is not from training but through the process of learning by doing.

Establishing and legalizing representative and accountable Community Based Institutions: Experience elsewhere indicates that whenever possible PFM does not create new institutions but builds upon those that exist but when there are no such existing institutions, as in the case of Ethiopian highlands, the experience is establishing new CBOs (either in the form of associations, cooperatives and PLCs). The PFM process in Ethiopia has not resolved the form of legal and PFM best fitting form of CBO and looking beyond the current practice is the innovative nature of PFM process. Organizing the community to form Forest Management Associations (FMA) could be the best option provided that the legal provision for benefiting its members is resolved and community groups choose to organize themselves in the form of management associations. There are other conservation efforts such as the watershed and water users associations, working to legalize associations as community institutions and foresters should strive by creating synergy with other conservation groups to legalize forest management associations. This guideline, however, pragmatically suggests the establishment of forest cooperatives until the issue of benefit sharing among association members is resolved. It is, therefore, important to clearly indicate that the legal basis for the establishment of CBOs engaged in the forest sector needs to be further worked out based on practical lessons learned.

Building on traditional forest management practices: Rural people have a long history of protecting and managing forests. Pastoralists and some highland communities have a traditional system of reserving dry season grazing in their localities and currently area closure is widely practiced. In South west forests of Bonga and Sheka, forest communities have been protecting parts of the forest for spiritual reasons. PFM planning process should recognize such traditional practices and has to work to make it environmentally and economically sustainable for the community groups. A notable example of traditional management system is the case of the Guassa community conservation area in Menz, North Shoa, Amhara National Regional State.

A guideline, not an order: This guideline is an outline of each stage of establishing PFM or comprising of key steps in establishing PFM. This has been arrived at through the practical experience of PFM actors in Ethiopia who have already helped community groups to successfully undertake PFM planning

process and have consequently been managing forests within their respective areas. The forester in this case, is simply a guiding facilitator who will enable learning by doing and guiding the community systematically to reach to the right decision. The steps are not compulsory but just a guide. It is fundamentally important to recognize that it is critical to adhere to the above mentioned principles of PFM and the three major phases (planning, implementing and monitoring) and the final output of the steps to be followed in establishing PFM are the same but details can differ depending on the context of the area.

LEGAL BASIS FOR PFM IMPLEMENTATION

The policy and legal framework in Ethiopia provides reasonable legal basis for the implementation of PFM¹ and these include the principles contained in the National Constitution, Conservation Strategy and Environment Policy of Ethiopia. The overall policy provisions deeply acknowledge the need for public participation. In this regard, particularly the Constitution of the Federal Democratic Republic of Ethiopia (FDRE) recognizes that the people have the right to directly participate at local level development initiative as the exercise of the sovereign power of the people.² Moreover, people have the right to participate in the formulation of policies and projects in relation to any development activity and the government is duty bound to ensure people's participation, specifically women's participation.³ The recognition of the participatory rights of the people, including women's participation is a leeway for the introduction and application of PFM in the forestry sector of the country. There are also forest policies and proclamations at the federal level and in some regional states (Oromia and SNNPRS) that provide the legal basis for PFM implementation. According to the result of the study on the analysis of legal basis for PFM implementation in Ethiopia (Melesse Damtie 2011)⁴, although the concept and PFM approach is a recent phenomenon and getting more emphasis from time to time as one of the viable options for sustainable forest management worldwide and particularly for Ethiopia, there are provisions and established principles in the legal frameworks that allow the application of PFM both in state as well as community-owned forests. The federal forest policy and strategy

¹Melesse Damtie (2011). Analysis on legal aspects for PFM implementation in Ethiopia. (field report file

²FDRE Constitution Article 8 (3).

³ FDRE Constitution Articles 43 (2); 89 (6) and 89 (7).

issued in 2007 recognizes both the right of participation in management of forest resources and benefit sharing of local communities, which are key requirements for PFM implementation. The policy appreciates PFM as one of the strategies for administration and management of both state and community- owned forest.

Some regional states in Ethiopia, specifically Oromia and SNNPR have also issued their own forest laws. According to the study on analysis of legal basis for PFM implementation (Melesse, 2011), Article 2 (6) of the Oromia Forest Proclamation defines community forest as “the state forest where the use right and management responsibility is transferred to organized local community or forests developed by organized community on communal land.” This Proclamation has recognized in clear terms the user right and management responsibility of the local communities on the state forests which are transferred to be managed by them. In the draft Forest Conservation, Development and Utilization Proclamation of SNNPR clearly articulates the legal basis for PFM implementation, which is more favorable for scaling-up PFM initiatives. The draft forest law has articles that encourage PFM both in community as well as state-owned forests within the regional state.⁵ The draft proclamation of SNNPR also provides basis for the joint management of state forests by the state and communities organized for the purpose of forest development, protection and utilization.⁶ JFM is a reflection of the constitutional rule of joint ownership of natural resources by the state and the people. The draft proclamation also makes a special arrangement to materialize the benefit sharing of communities from the proceedings of the sale of forest products from the state forests. This has the aim of developing a sense of ownership among the people and recognition of their roles in protecting forests since time immemorial.⁷ In addition to these, the draft forest proclamation specifically stipulates about the implementation of PFM on communal forests and also encourages the legal recognition of such forests.

Article 2 (16) of the draft proclamation defines community forests as: “forests developed, protected and utilized by people who are living around forests by receiving natural forests from the government or on communal lands.” Note that this draft proclamation is available only in Amharic version and translated into English by the author.

⁶ See Article 7 (4) and (6) of the draft proclamation.

⁶ See Article 8 (4) and (6) of the draft proclamation.

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In general, there are a number of legal provisions for PFM implementation in Ethiopia some of which are cited below:

The Federal Forest Policy and strategy of 2007 encompasses PFM as one of the options for administration and management of state forests. In that it states:

“Encourage farmers/agro-pastoralists living in and around protected forest areas through the grant of permits and technical assistance enabling them to engage in the production of honey, spices, wild coffee and fodder by way of *participating them in forest management*.”⁸

“Communal holding means rural land which is given by the government to local residents for common grazing, forestry and other social services.”⁹

Similarly, the Forest Proclamation № 542/2007 has a number of provisions for PFM such as Article 4 (3) which states that:

“Management plan shall be developed, *with the participation of the local community*¹⁰, for forests that have not been designated as protected or productive state forests, and such forests shall be given to the community ... so that they conserve and utilize them in accordance with directives to be issued by the appropriate body.” Article 9(3) “Forest development, conservation and utilization plans shall be formulated to allow the *participation of local communities* in the development and conservation and also *in the sharing of benefits from the development of state forests*.”¹¹

Article 18(3) states that each regional state shall “Encourage forest development programs, which involve the participation of farmers and semi-pastoralists, and provide technical support”

Similarly, the federal draft regulation for forest conservation, development and utilization, which is scheduled to be issued, elaborates and provides adequate legal provisions required for PFM implementation. It elaborates further the legal

¹¹Italicized by authors to emphasize phrases with direct link to PFM

provisions for the establishment and promotion of PFM in promoting private forest development and utilization. The legal provision in the draft regulation defines several aspects of PFM including the importance of PFM implementation, major objectives of PFM, the long-term focus of the government towards implementing PFM, community institution, and the need of clearly worked out duties and responsibilities of the implementing institution and local community in forest management. These provisions contained in the draft regulation can be considered as the best to any standard and clarifies some critical elements of PFM and contains some of the underpinning principles of PFM.

OVERVIEW OF THE PFM PROCESS

PFM is used to describe systems in which communities and government institutions providing technical services in the forest sector work together by defining the rights of forest resource use, identify and develop forest management responsibilities, and agree on how forest benefits will be shared between forest users– the community and the government partner. Therefore, PFM is considered as one of the viable options in forest resource management with active involvement of the user communities at all stages, i.e.; mobilization, planning and implementation. It is highly important to note that PFM may be based on traditional systems of community-based natural resource management where already existing well established roles and responsibilities for the resource management. However, in the absence of traditional systems, new systems can be established by taking into account the specific situation of the area.

It is therefore, important to put in place of systems for effective and efficient management of forest resource equally involving forest users and the government institutions at all stages of implementation. This is actually one of the key challenges of establishing PFM, where the roles and responsibilities of the communities and the government institutions at all levels are clearly defined to work together right from resource assessment, planning and preparation management plan, its approval and implementation as agreed.

The common features across all the PFM models exercised in Ethiopia are: the introduction of the concept, popularization and community mobilization; establishment of Forest Management Associations or Community Based Organizations, participatory forest resources assessment, forest management

plan preparation, signing of management agreement and finally implementation of the management plans. By taking into consideration the assessment results by reviewing the various guidelines prepared by different practitioners and consultation with major PFM actors, here below is presented an overview the simplified guideline for PFM launching and implementation in Ethiopia. This new PFM implementation guideline comprises three main phases, each of which will have few steps. The three major phases are:

- (i) **Mobilization**, which includes stakeholder analysis, establishing of community-based forest management institutions;
- (ii) **PFM planning**, includes participatory forest resource assessment and mapping (PFRA), forest management planning, formulation and signing of forest management agreement
- (iii) **Implementation** mainly includes capacity building and skills development and monitoring and evaluation activities.

It is important to note that steps in PFM process are not strictly following sequential orders rather some steps like participatory monitoring, PFM planning and organizing community could be done simultaneously. Details of each step, tools, activities and outputs are discussed and illustrated in figure 1 hereunder.

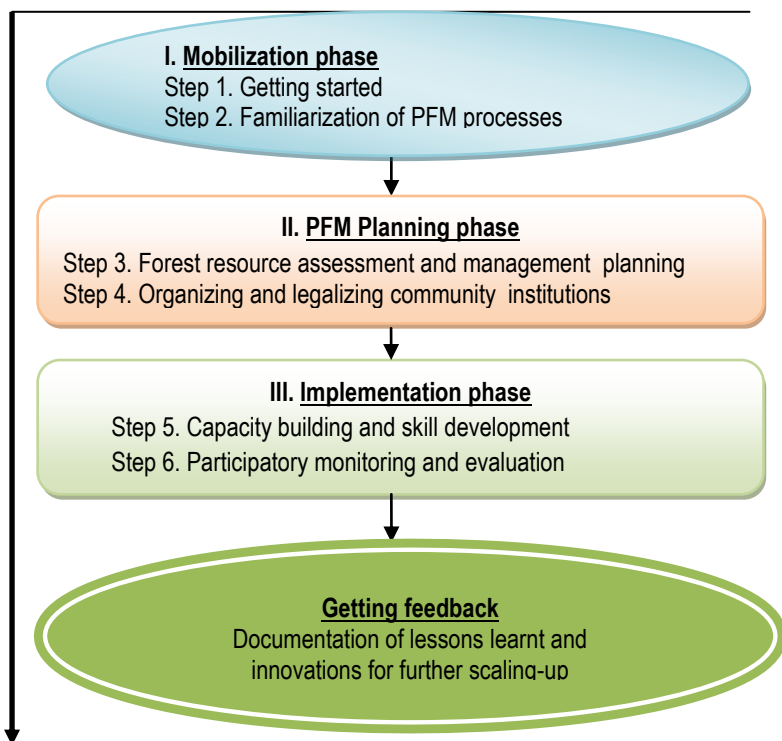
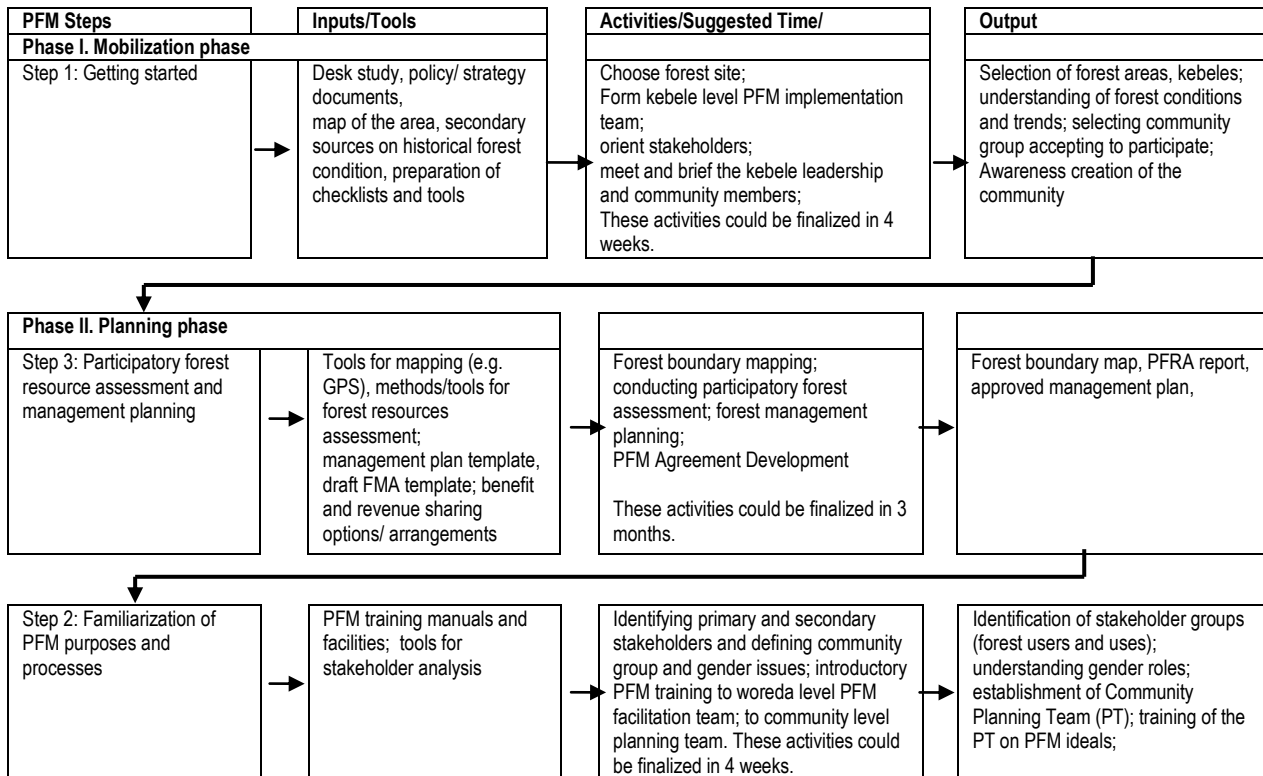


Fig 1. PFM PHASES/PROCESS FLOW CHART



SCALING-UP PARTICIPATORY FOREST MANAGEMENT PROJECT, ETHIOPIA

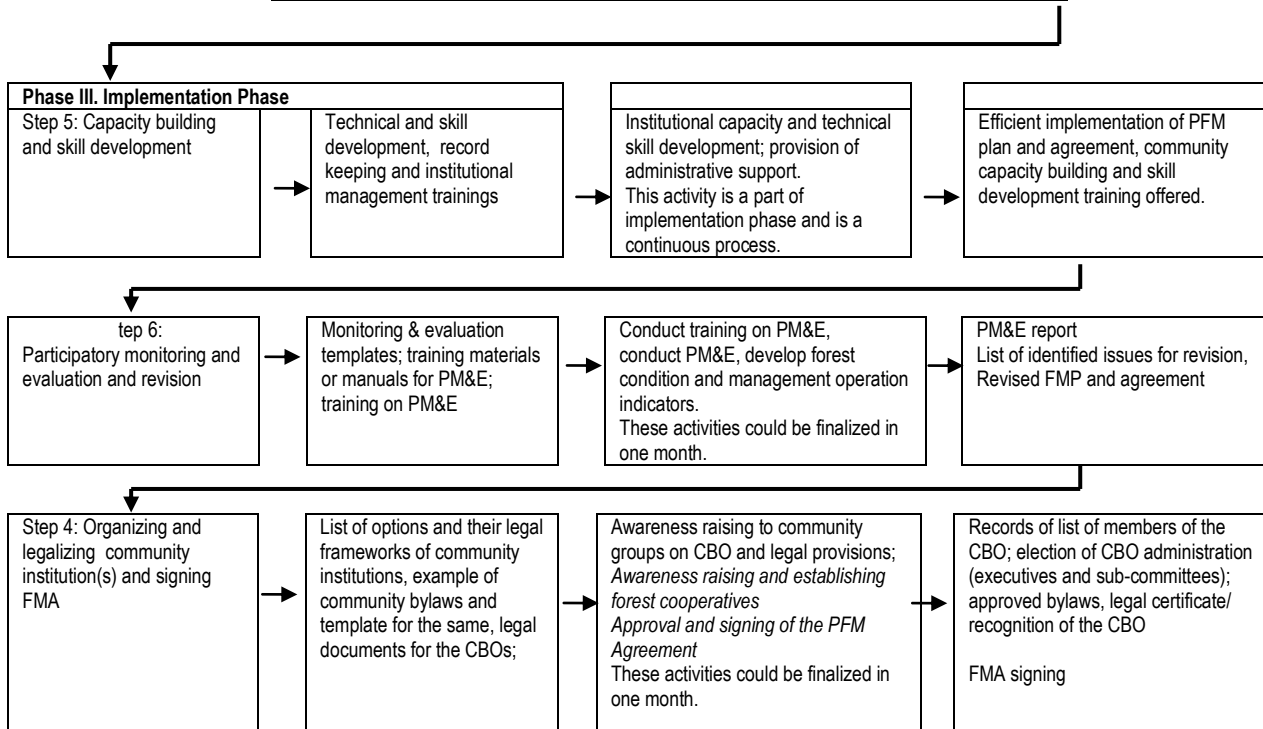


Fig 2. Steps of PFM, flow chart of sequential activities and output of each step

PHASE I: MOBILIZATION

Step 1: Getting started

Inputs and tools to be used in step one

- Desk study, planning, logistics and budget
- Federal/regional forest related policy/strategy documents
- PFM brochure, case studies describing impacts of PFM
- Training on PFM to focal persons and DAs
- Map of the area
- Historical forest condition trend analysis
- Preparation of checklists and tools

Main tasks to getting started

1. **Choose forest site:** There could be a number of options for choosing a new forest area in the woreda for PFM implementation. Either the woreda forestry service/DOA has plans to undertake PFM, hence has already tentatively pre-selected sites or concerned stakeholders might have heard about a PFM undertaking nearby and requested the forest experts to work in their respective area. The PFM process can be implemented on a range of resource bases ranging from degraded forest land to high natural forests, from lowland dry forests to highland moist forest or on plantation forests (See **Help box 1: Tips for choosing forest sites**).

Help box 1: Tips for choosing forest sites

PFM can be implemented on any resource base be it plantation forest or natural forest, natural forest with or without Non-timber forest products, or a degraded forest that requires rehabilitation. The only single factor during consideration of the resource base is what would be the benefit sharing arrangement depending on the resource base so that the community will be interested and encouraged to participate.

When choosing the site of the forest, criteria to consider would be to look into factors that favor PFM so that a starter can gain experience and then gradually move to the difficult social and environmental situations.

Considerations for selecting forest site within the woreda include:

Forest condition: Do the local communities depend on the forest/NTFP for their livelihood? Is there a potential livelihood benefit for the community? Is the forest degradation continuing? Is there a shortage in the supply of forest products? If the answer to this question is YES then it is most likely easy to start PFM.

Regarding the people or social context: Do villagers have experience of cooperation among themselves and with the forestry service? Are they homogeneous community with no known serious conflicts or are there divisions within the community? Is there evidence of a positive attitude towards forest conservation; existing indigenous resources management system; appropriate balance between the size of the forest and the apparent user community; manageable community size for field work and PFM arrangements (less than 100 households/homesteads).

When selecting the target woreda it is important to consider local politics and institutions: Is there a tradition of more positive relationships than conflicts between the local institutions, among community institutions and among government institutions? Is the local administration concerned with forest degradation and willing to support community participation? Is there evidence of environmental governance; is the responsible

2. **Form PFM implementation team:** Identify the woreda level PFM focal person who would coordinate all PFM activities within the woreda and form a multi disciplinary PFM implementation team and in some cases which might be composed of different institutions such as the BoA and the forestry service.

3. **Orient stakeholders:** The success of PFM implementation depends on the commitment of the stakeholders involved and particularly the support from woreda officials is crucial. For this reason, it is essential to undertake briefing with all stakeholders; woreda council members, kebele officials, local leaders, elders and influential and concerned individuals representing the community. The meeting should start at woreda level and continue meeting lower level administrative bodies in the presence of woreda representatives as a gesture of support. At all levels it is important to carry out historical forest situation trend analysis and then introduce PFM using the PFM brochure (**Help Box 2 Historical forest condition trend analysis**).

Help Box 2 Historical Forest Condition Trend Analysis It is an important tool to discuss and understand the past, present, and future forest and other situations and opens discussion on **how to reverse** the forest condition.

Time	Extent of Forest	Forest product availability/Income from forest	Climate condition e.g. Water availability
Present	XX	XXX	XX
30 yrs ago (Derge Regime)	XXXXXXXX	XXXXXXXXXXXXXXXXXX XX	XXXXXXXX X
60 yrs ago (Emperor's time)	XXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXX XXXX	XXXXXXXX XXXXXXXX XXXXXXXX XXXXXXXX

4. **Meet and brief the kebele leadership:** The objective of this meeting is to develop a good rapport with the kebele administration. Having a good rapport is a fundamental prerequisite for the success of a participatory process and can only be attained through honest interaction in formal and informal discussions between development facilitators and their partners. Note that rapport building is a process and all your interactions with partners need to be towards building supportive and good working

environment. With this objective in mind, meet with kebele administration/council to confirm their interest in PFM. Introduce the basic concepts of PFM using PFM brochure and PFM flow charts and discuss on issues of the forest management in their locality and underline that the way forwards is to work in partnership where their involvement is fundamentally important.

5. ***Meet and brief the kebele assembly/community members:*** Meet the community groups of three or two “*Goth*” or “*Garee*” in one meeting and if they have traditions of having kebele level general assemblies, conduct a similar meeting as above if possible. The objective of the meeting is to discuss forest management issues, create awareness on PFM, and agree on the need for having a working mechanism such as establishing Plan Preparatory Committee. The outcome of the meeting would be to reach consensus to do PFM in their locality and decide on the smallest unit of PFM community as a starting point. Finally, if

Help Box 3: Tips on how to conduct better community meetings

- Arrange the meeting (at a convenient time and place) and inform participants in advance. Stay overnight if necessary and hold meetings when people have time to attend them.
- Make sure that women and all relevant persons are able to attend the meeting.
- Promote the best possible communication among the participants by explaining or re-phrasing points, asking questions, summarizing answers, suggesting the exploration of new ideas, possible solutions or explanations.
- Make sure that men in the village understand your motives for wanting to talk to women (if you are a male facilitator).
- As a guiding principle
 - Do not lecture
 - Appreciate their ideas and feedback
 - Allow them to share their experience
 - Consider their background and experience
 - Understand their language and terminology.

possible show PFM process film (**Help box 3: Tips on how to conduct better community meetings**).

Checklist to move to the next step

Forest site selected and agreed, local administration and community group agreeing to participate in PFM process, woreda and kebele level PFM facilitation team established and awareness creation of the community.

(Note: Keep simple minutes of each meeting describing date of meeting, venue, attendants, and the main issues of discussion, agreed points or follow up actions, name of facilitator and minute taker. See minutes keeping format).

Time required to complete step one

This could be finalized in four weeks. (**Help box 4: Tips on how to speed up the process**).

Note that in a participatory process there is not only one way of doing things but

Help box 4: Tips on how to speed up the process

- Before starting mobilization phase undertake a proper planning of logistics, technical inputs and materials needed for the process;
- While planning the process thoroughly review the seasonal calendar to see availability of time and interest for the work from the community side,
- Check thoroughly the timing is suitable and goes along with other critical government development programmes.
- Note that the time required for each activity in the process depends on a host of factors including the topic, interest of the participants, knowledge on the topic, depth/importance of the issue and facilitation skill.
- Note that in a participatory process there is not only one way of doing things but there are a number of ways of doing the same thing, however, using experience sharing visits and template documents could speed up the process.

there are a number of ways of doing the same thing, however, using experience sharing visits and template documents could speed up the process.

Step 2: Familiarization of PFM purposes and processes

Inputs and tools used in step two

- PFM training manuals and facilities
- Tools: Stakeholder analysis using influence and importance matrix; gender analysis (gender based forest use, roles, power, access to forest resources, issues restricting women's participation)

Main tasks in step two

1. **Identifying primary and secondary stakeholders and defining community groups:** The purpose is to identify the main stakeholders and define them as either primary or secondary stakeholders in terms of their influence and importance in the implementation of PFM. The process will lead to come up with agreements as to which community groups should become partners in conservation. **Primary stakeholders:** are those who are living in and around the forest and are most affected by the outcome of PFM planning process and **secondary stakeholders** are mostly not living in the area and are indirectly or less affected by the outcome of the planning process. Mostly those community members who used to reside in the area but have currently left though still maintaining traditional right to utilize NTFPs such as forest coffee could be considered as secondary stakeholders. The primary stakeholders would determine the process owing to their importance to the process and the capacity to influence the outcomes of the forest management practice. Once the primary stakeholders are identified, the process would be finalized with the establishment of a planning committee.

Here it should be noted that in the case of PFM, government departments are **key stakeholders** who are critically important and significantly influence the outcome of the process and should not be confused with primary stakeholders (**Help Box 5: Stakeholder analysis using importance and influence table and matrix**).

Help box 5: Stakeholder analysis using importance and influence table and matrix

Ask the whole group to list and agree on influence and importance and scores for each stakeholder, allowing sufficient time for discussion. To score each stakeholder, use a five-point scale where 1 = very little importance or influence to 5 = very great importance or influence.

Table of influence and importance

Stakeholder	Influence	Importance
Women group		
Youth group		
Elders		
Kebele leaders		
Traditional healers		
Fuel wood sellers		
Etc...		

High influence	High importance
A	B
C	D
Low influence	Low importance

The matrix gives the relative locations of the various stakeholders, of whom those included in Boxes A, B and C are the primary stakeholders in PFM; they can significantly influence it or are most important if PFM objectives are to be met.

2. **Identify forest uses, users and gender issues:** As a continuation of stakeholder analysis that identified primary stakeholders/community groups, it is important to divide into different **interest groups** depending on gender, wealth, age, ethnicity and individual preferences of forest uses. One of these interest groups, for instance, are women who collect

fuel wood for cooking, poor people who sell fuel wood for income, rich people who are grazing their cattle in the forest, or those interested in gum and incense collection in lowland forests. In particular, it is important to carry out analysis of gender roles, labour, power, decision making, access to and control over the resources, forest use, etc as well as analyze of constraints to women's participation in PFM process and develop strategies to overcome these constraints to ensure active participation of women in PFM implementation. The strategies developed to overcome gender disparities could be applied to other groups as appropriate (e.g. poor men, less focused ethnic groups) **(Help Box 6: Tips on addressing and integrating gender issues).**

Help box 6: Tips on gender analysis /Addressing gender issues

The objective is to fully involve women in PFM processes right from the beginning to make sure they are able to contribute to sustainable forest management and also benefit from the system through integrating gender issues into the PFM plan and agreements. Therefore, the first step is to create gender awareness and identify agents that create inequalities of men and women in their socialization.

Summarize that boys and girls are expected to behave differently because of their gender and are socialized and treated to prepare for different roles they play in the society. Analyze roles, access to and control, decision-making etc, with respect to forests: Who does what in the forest? Who uses what from the forest? How much time is spent by each of the gender groups? Who controls forest and other resources in the area? Summarize the impact of these differences on current gender imbalanced situation which include: Lower status of women, low representation of women in development activities, limited access and control of resources, limited decision making power of women etc. Ask what would be the benefits for men and women if the situation of girls and women are improved. Summarize the process that improvement in the involvement of women in all aspects of PFM, including decision making is benefiting the whole community.

3. ***Introductory PFM training to woreda level PFM facilitation team:***
The purpose of PFM training is to raise awareness on PFM and provide introductory training to woreda facilitators and development agents to help them initiate and lead PFM planning process. The main learning is expected to be gained from actual doing and learning through the process. Therefore, trainees are not expected to grasp everything about PFM at the first PFM training but will be able to initiate PFM in their locality.

The training should start with adequate preparation of materials and logistics. The training materials should be ready and include PFM brochures, case studies describing impacts of PFM and PFM training manual.

The PFM training should be designed to include the following contents for better understanding and success:

- Introduction to the training
- What is PFM: definition, objectives of PFM
- Why PFM and forest management
- PFM developments in the world, Africa and Ethiopia
- Impacts of PFM, environmental, economic, social, cultural and political
- Principles of PFM and success factors for PFM
- Challenges of PFM implementation
- Lessons learned from PFM implementation in Ethiopia
- PFM process, the six steps of PFM process
- What needs to be done in their locality to initiate PFM? And what action points were identified?

4. ***Introductory PFM training to community level planning team:*** The aim of this community level PFM training is to raise awareness, introduce PFM concepts and process so that the planning team knows what they are going to achieve through the process. The training will start with a general introduction to PFM, use of PFM brochure and PFM flow chart as a guide (**Help box 7 Introduction to PFM**).

Help box 7: Introduction to PFM

Have a proper introduction and use guiding principles in Help box 3. Using Scan method ask participants their understanding about participation and experience of participation in social and economic activity that are initiated by the community themselves. Make sure that the experience mentioned includes working together, helping each other, sharing responsibilities, benefits, undertaking burial activities, farm activities, social events etc.

Use Scan method to ask the participants to assess the forest condition 40 yrs ago. What were the benefits their community was getting? To assess: a) Dense forest area of forest coverage in the past, b) abundance of forest products, c) abundance of wild animals, and several benefits of forest e.g. Forage for cattle, fuel wood and construction wood, household income, food obtained from wild animals, environmental benefits etc. Scan forwarding the questions- How is the current forest condition? And what are the benefits you are getting from it? Identify whether there is scarcity of resources and lack or shortage of the benefits from forests.

Using Buzz group discussion ask participants to list the possible causes of the deforestation/ mismanagement/and make sure that at least the following causes are mentioned: population pressure, lack of proper management of the forest by the Government, the forest has no owner so it is not managed, corruption, everybody wants to use the forest and etc.

Using community discussion, ask the participants who will be the most affected due to deforestation/ mismanagement and how?

Make sure that the answer is that it is the community living in and around the forest that are the most affected by losing benefits from the forest.

Present PFM case study and PFM video show and ask participants if they are interested to follow the same process. Finalize the process by concluding ‘-We need to involve in forest management planning and implementation to improve our livelihoods and sustainably manage forest resources.’

Note: Throughout the process the planning team is advised to consult and communicate with community members through informal discussions on issues of the forest management and training they received until they handover the process to the legally established community institution.

Checklist to move to the next step

Identification of stakeholder groups (forest users and uses), Establishment of Community Planning Team (PT), Understanding of gender roles, PFM training for PFM facilitation team and Training of the PT on PFM ideals.

Time required to complete step Two = 4 weeks

PHASE II: PFM PLANNING PHASE

Step 3: Participatory forest resource assessment and management planning

Inputs and tools used in step three

- Forest map, flipcharts, markers
- GPS, meter, relascope, compass
- PFRA guideline, PFRA template
- Forest management plan template, benefit and revenue sharing options, rights and responsibilities of actors.

Main tasks in step three

1. Participatory forest boundary mapping with blocks and sub-blocks

The purpose of forest boundary mapping is to delineate the boundary of the forest area to be handed over to the community group under the PFM scheme. Participatory forest boundary mapping is a form of a sketch map with forest blocks and sub-blocks when necessary. The map displays important information, such as forest boundaries, physical features (such as rivers, roads, paths), and key forest resources. These maps are usually done by the planning team and elders together with neighboring community and kebele administration representatives, together with the forestry service and when possible with Environment Protection and Rural Land Administration Office.

Steps in forest boundary demarcation

- a) Make sure that a fair representation is seen in the group of community representatives.
- b) Discuss on the importance of forest boundary map and summarize that the map will be their legal document with some revisions if necessary
- c) Ask the team to draw the perceived boundary of the forest they are accessing by drawing on the ground, a blackboard or a large sheet of paper with natural features, bordering farm plots, and boundary with other neighboring community (Note that bordering community

representatives are there and ensure they agree on internal boundary of the forest between community groups).

- d) Facilitate discussion on issues arising while drawing boundary.
- e) Verify by walking along the edge of the forest to mark the outer boundary; if available use GPS to take coordinates (Note that forest includes land designated as a forest land by the forestry service or the community).
- f) Write down local names of the area you are crossing and other features like roads, rivers, that serve as boundary mark and remarks that help to translate into topographic maps
- g) After finishing the outer boundary, if the block has plantation or dense and degraded natural forest or mixed forest try to delineate the boundary of these too (Take note to make the sub compartments few in number)
- h) Finally, after the facilitator has helped finalized the map, calculate the area in hectares and present the map to the planning team for approval.

2. Conducting Participatory Forest Resource Assessment (PFRA)

The purpose of PFRA is to gather technical baseline information necessary for preparing a management plan and future monitoring of the development by communities and the forestry service.

As a tool it provides the government and community with a detailed knowledge of the resource at the time of the assessment. This can be used to determine any changes in the resource over time (by repeating the assessment for monitoring purposes), and observing whether the changes are expected as per the management prescriptions. If not, then changes need to be made either to the prescriptions or to the implementation of the prescriptions.

The PFRA has four major steps: a) Preparation: Organize introductory session with the planning team and some additional community members to have a briefing and discussion on the purpose of PFRA; the PFRA process: what kind of information, why and how it is gathered, who should be part of the PFRA team from the community and when the PFRA will be conducted, formation of PFRA team, arrangement of logistics and materials required for the assessment like map of the forest and equipment; planning the PFRA: decide on the number of

sample plots you would like to have, b) Conducting the PFRA, c) Reporting/summarizing the PFRA, d) Discussion on management implications of the assessment, what they learnt from the exercise and management actions regarding forest development, forest utilization and forest protection aspects.

It is good if the PFRA team has some of those community members who took part in participatory forest boundary demarcation but not necessarily limited to these individuals and have some new additional community members join the team. For practical reasons, the team should range from 5 to 8 community representatives. The factors to consider during composition of the team include a) people who know the forest area well, b) are physically fit, c) both men and women and d) preferably literate individuals, but if not this should not be a hindrance.

The PFRA is done on a sample plot assessment basis. In order to set out plots and transect line, observe the topography and map of the forest and design the transect line direction along the longer border of the forest. The first plot can be set using a random number from your scientific calculator and set the distance from border and then between intervals of 100 m; if the forest area is large the interval between plots will also be higher. Once the first plot is determined start the forest resource assessment using PFRA plot assessment form (**Annex 1A PFRA template**). Then after, the summary reporting should be done immediately after the field assessment is completed.



Fig. 2. Forest resource assessment team composed of government and community representatives (adopted from FARM-Africa PFM field manual, 2007)

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When measuring at each plot, remember that the main purpose of PFRA is to gather information for the management plan preparation and therefore while doing the assessment encourage discussion on the management implications of each category of information gathered which would later be compiled as management prescription. For example, if the exposure of the soil is high it means that plot area might be overgrazed, over utilized, unmanaged and this gives indications for appropriate management prescriptions. Having such reflection on each plot will ease the work under forest management prescription section.

Note: While facilitating remember that adults do not want to be told what to think so respect them as adults. But still it should also be taken into consideration that ideas can be forwarded in respect to their ideas to provoke.

The following table can be used as a guide to discuss management strategy in relation to community needs and the forest condition.

Table 1. Guide for setting future management plan strategy

Community need	Forest Condition			
	Good	Moderate	poor	degraded
Wood for local use	Sustainable selective utilization		Improved management of natural regeneration and enrichment planting	
Environmental protection	Protection of the forests			
Forest based improved livelihoods	SFM		Reforestation with indigenous/exotic trees;	
NTFPs	Sustainable NTFPs utilization		Area enclosure and integration of NTFPs bearing plants	

3. PFM plan development

Introduction

As you have been introducing each step at the start, here also introduce the activities of PFM planning exercise. Summarize step by step what they have done in the PFM planning process so far and relate to the activities of PFM planning.

Ask participants to share their experience on formal planning exercise such as watershed management and other development works in their area. Using buzz group ask participants the importance of planning citing examples. Summarize that we all have the experience of planning and PFM planning is similar to other planning exercise participants have been engaged in except for minor differences such as signing agreement (**Help box 8: Buzz group**).

Help box 8: Buzz group

Procedure

Step one: Display a written question or statement and ask all participants to think about their response. The question should be open with several possible answers. Example "What is the main cause of deforestation?"

Step two: Ask participants to turn to their neighbor (to their left/right) and discuss their response and to come to a consensus response. This is the "buzz" period where the noise level in the room rises to a gentle buzz as participants discuss their response. Ask the pairs to record their answers.

Step three: Once sufficient time has been given to allow reasonable discussion of the topic (5 to 10 minutes), ask each pair of participants to give one of their responses by asking "Can you give your first point" (Do not ask any one pair to give all of their answers as this will mean that other pairs may not be able to contribute). Record the response. Continue asking for responses until all possible answers have been given.

Step four: Process by summarizing the response and if necessary, by asking for clarification ("Why" questions).

Step five: Link this activity to the next activity by building on the basis of the response.

Divide into small groups and ask to draw a picture (vision map) showing the forest condition now and the way they would like to see it in the future when they would be getting all the benefits they expect resulting from effective management. Summarize that they need to develop a management plan to guide their implementation. Highlight that community needs from the forest and forest condition must be correlated and the management strategy also need to reflect that. If the forest condition is moderate to good, then sustainable selective utilization can be the strategy and if it is a degraded forest the management needs to focus on developing the forest (See Table 1. Guide for setting future management plan strategy). Ask participants to brainstorm what activities we need to do to increase benefits from forest, to improve forest condition and ensure that plans are implemented. Process the responses to include major activities of forest development, forest utilization, forest protection and forest monitoring.

Present the PFM plan template (**for details see Annex 1B PFM plan template**).

- i) Introduction
- ii) Description of the forest
- iii) Objectives of the forest management plan
- iv) Forest management actions
 - Forest development actions
 - Forest utilization actions
 - Forest protection actions
 - Forest monitoring actions
- v) Participatory monitoring and evaluation
- vi) Revision of the management plan
- vii) Approval of the management plan

Ask if it has similarities or differences with other development plans. Use guiding questions to ensure that the answers include: it has a lot of similarities with other Community Action Plan development exercise having sections on introduction, description of the area, objectives, problem analysis, action plan, monitoring and evaluation and the difference lies in that forest management plan template includes an approval step. Summarize that PFM plan is an implementation guide to achieve the desired result from managing forest resources and it should also

be reflected the experiences and expectation of the community to capture their interest in PFM planning.

The planning exercise

Ask them to divide into 3 groups and use a small group discussion to ASK the participants to discuss what should be included in sections 2 to 4 of the PFM plan. Each group discusses what should be included in their allocated section:

- Section 2- Description of the forest
- Section 3- Objective of the forest management plan
- Section 4- Forest management actions, (forest development, protection and utilization)

(Note: The contents for the Introduction and Background will be discussed at a later date after completing sections 3, 4 and 5 of the plan.)

Allow 15 minutes for discussion before asking the groups to report. PROCESS the response to include:

Group 1 – Location of the forest; map of the forest; size of the forest; species composition; forest condition in general; management needs, the "goth" or kebele using the forest (different groups, different uses, household numbers)

Group 2 – The main things they want to achieve through the forest management plan (some of which might be included in the management prescriptions)

Group 3 - Activities such as nursery development, seedling planting are under forest development; activities like grazing control, patrolling, illegal activities come under forest protection; and activities like fuel wood harvesting, timber harvesting, NTFP harvesting etc are under forest utilization.

SUMMARIZE what is included under each of the main headings. Then again ASK the group to discuss what should be included in sections 5-7 of the PFM plan.

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Group 1 - to discuss contents of the PM&E section

Group 2 - to discuss contents of the revision of the plan

Group 3 - to discuss contents of the approval of the plan

Allow 15 minutes for discussion before asking the groups to report. PROCESS the response to include:

Group 1 - indicators for monitoring progress and impact of forest development, forest protection and forest utilization activities

Group 2 – intervals at which the plan can be reviewed; who would take part in review and revision

Group 3 – it will explain that the forest management plan must be approved by signing PFM agreement with the appropriate body/government.

SUMMARIZE these six sections of the PFM plan as key topics of the PFM plan and key steps in developing the PFM plan as an integral part of forest agreement.

Boost their confidence by distributing a sample of the PFM plan developed by other community group and allow discussion on similarities with what they did earlier and difficulties of doing something similar.

Ask participants which section of the PFM plan is critical to guide implementation and summarize that management actions or prescriptions are guiding implementation and the management actions should indicate what is to be done, who is doing, where is it done, how much is done and when is it done. It could be presented in a simple tabulated form (**Help Box 9. Forest management prescription table**).

Help Box 9. Forest management prescription table

Forest name	location	What activities	How much is done	Who is responsible	When is it done
Development plan					
Forest utilization plan					
Forest protection plan					
Forest monitoring					

Then present the following management prescription table and the PFRA report form 2. The PFRA report would serve as a guide for doing the actual management prescription.

Determination of annual allowable cut

If the forest has to contribute to rural livelihoods we have to explore options of forest utilization beyond a nominal use of fuel wood for household consumption, which communities are exercising with or without the PFM plan. One of the challenges in the PFM plan development is the application of the concept of annual allowable cut due to lack of information on annual growth rate of natural forests in Ethiopia.

The experience in Adaba Dodola determines annual allowable cut based on the average number of potential crop trees per ha¹². Applying this experience in all over PFM sites would not simplify the process but complicate the PFRA methodology adopted. Knowing that the determination of allowable cut is a challenging issue in a community-managed forest, we suggest using a very conservative estimate of 1-1.5 m³/ha/yr¹³ annual growth rate as a guide, which is often the case in dry Afromontane forest. The corresponding basal area will be about 0.5 m² per ha/yr assuming a mature tree of 35-40 cm dbh and 35 m height. This is also equivalent to half a mature tree of the same size: dbh 35-40 cm and about more than 40 m height. Accordingly, selective cut of one mature tree (greater than 40 cm dbh) per ha per 2 years or one mature tree/yr/2 hectares can be sustainable. This harvesting level can be applied as a rule of thumb on forests with more than 20 m²/ha basal area. The suggested harvesting level could also be taken as a means of encouraging gaps for natural regeneration and eventual climax of the forest.

PFM and livelihoods

One of the overall objectives of PFM is as a management strategy to contribute to rural development and poverty reduction efforts of the government. Therefore, forest-based livelihood strategies need to be incorporated in the PFM planning process. Promoting forest-based livelihood is an integral part of the New Forestry development Model of “making forest markets work for the poor” through creating forest-based small scale community enterprises.

Promoting forest-based livelihood is not only to benefit the community but also sustainable utilization is an essential strategy of biodiversity conservation in areas with large and poor population. Activities of forest-based livelihood include assessment of forest-based livelihood potential, forest-based product and market development, and business development. The forest-based livelihood development activities are summarized into a business plan document and the

¹²For details refer to PFM ToT Training module of GIZ Ambero GITEC and Dr. Girma Amente's PhD thesis. (Rehabilitation and Sustainable Use of Degraded Forest Management, Management of Community Forests towards multiple Use)

¹³EFAP (1992) estimates annual incremental yield based on data from ecologically comparable African countries a growth of 5-7 m³/yr/ha for slightly disturbed forest and 3 -4 m³/yr/ha for highly disturbed forests.

forest-based livelihood development guideline will be separately presented in a Forest-Based Livelihood Development Guideline to be developed jointly by PFM actors. Here at this stage of the PFM planning process, PFM facilitators and communities need to be aware that forest utilization plan can be part of an existing marketable forest product and the development focus should include value addition and new product development.

a) Benefit sharing arrangements and rights and responsibilities of the agreeing parties

One of the issues for negotiation in PFM planning process is about benefit sharing and rights and responsibilities of the community group and the government forestry service. Clear benefit and revenue sharing arrangements are critical elements for the success of PFM. Here the negotiation must be transparent and in principle the benefit sharing arrangement should reflect the responsibility of each agreeing party. It must be clarified from the start that benefits are tied to the level of responsibility one undertakes.

Using small group discussions ask participants to discuss and orally present what they think are the responsibilities and rights of the agreeing parties.

Table 2: Rights and responsibilities of the community and government institutions

Community		Government institution	
Rights/Benefits	Responsibilities	Rights	Responsibilities
To use forest & NTFPs for HH consumption and sale as plan	To prepare annual plans	To jointly or independently monitor change	To provide technical assistance to communities
Retain 100% of fines on offenders	To protect forest from damage	To carry out research	To jointly and independently monitor forest condition
Negotiate >50% of the confiscated forest product	Control illegal forest harvesting	To attend and call community meeting	To facilitate legal support for communities
Negotiate between 30% - 70% of revenue	To implement PFM plans effectively	Terminate agreement when conditions specified	To solicit external funding like PES, carbon trade etc...

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Community		Government institution	
Rights/Benefits	Responsibilities	Rights	Responsibilities
from harvesting, PES, carbon trade etc		for termination occurred	
To demand technical support	Share benefits equitably		

Summarize rights, benefits, and responsibilities of each party and include what is negotiated and agreed in the agreement document (**Help Box 10 Examples of some benefit sharing arrangement in Ethiopia**).

Help box 10: Examples of some benefit sharing arrangement in Ethiopia:

Adaba-Dodola: Pay an annual forest rent for the use right they were granted. The rent payment is shared between the village administration (60%) and the district level Forest Enterprise Office (40%) and the community share 85% of trophy hunting.

Chilimo: A benefit sharing arrangement of 70% goes to the community and 30% to Oromia Forestry and Wildlife Enterprises (OFWE) from plantation sale while there exists only sharing of consumption in the natural forest.

For example in the **Bale Eco-Region Sustainable Management Programme:** The community shares benefits of 40% of stumpage fee, 50% of profit from PES and trophy hunting.

West Hararge: The community shares benefits of 60% from trophy hunting, 15% from plantation sale and 100% grass and NTFP sale.

Note that these are just examples and could change through revisions and negotiations.

Checklist to move to the next step

Forest map produced with blocks where necessary, PFRA carried out and summary report developed, PFM plan finalized and approval by general assembly obtained.

Time required to complete step three = 3 months

Step 4. Organizing and legalizing community institution(s) & signing FMA

Inputs and tools to be used in step four

- Existence of PFM community group who elected planning committee or organized community groups as some may call it FMG and represented by planning team
- List of options and their legal frameworks of community institutions, example of community bylaws and template for the same, legal documents for the CBOs, examples of community rights
- Draft FMA template, benefit and revenue sharing options/arrangements

Main tasks of step four

1. **Awareness raising to community groups on CBO and legal provisions**
 - a) **Awareness raising to community groups on CBO**

Organizing and legalizing community institutions is the fourth step of the PFM planning process but this does not mean that activities of organizing community starts after step three when PFM planning is finalized. Actual activities of organizing community should start soon after the stakeholders are identified and PFM planning team is established during the mobilization phase.



Fig. 3. Forest Management Group- newly set up community institution (adopted from FARM-Africa PFM field manual, 2007)

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Hold a meeting with the Planning Team and additional members of the community representing elders, youth, women, and different interest groups to raise awareness on the need for legal institution to implement PFM plan and to represent the group having a legal background to interact with the concerned institutions legally.

EXPLAIN that a community is normally made up of different formal and informal institutions or organizations – give an example of local institution. EXPLAIN that each community institution is formed for a specific role within the community, that a strong, representative local institution is necessary for the success of PFM and that you would like to explore whether there is such an existing local institution, or whether it will be necessary to create a new institution to implement PFM. Use a brainstorming session to ASK participants to identify the various existing local institutions in which they are members. ASK guiding questions to ensure that their responses include both formal and informal local institutions.

The community-based institutions could be organized around the most appropriate form for the area such as around religious-based institutions, in the form of idir, service cooperative, saving and credit cooperative, etc.

Help box 11. Institutional analysis matrix: Role of institutions in forest management

Institution (formal or informal)	Objectives /main role and activities/	Membership and representation	Role in forest management	Possible future role as CBO for PFM
Church	<i>Prayer and burial service</i>	<i>Few are not members</i>	<i>Supporting forest maintenance, manage trees in its compound</i>	<i>Far from objective and not involved in communal resources</i>
Kebele Administration?	<i>Overall administration</i>	<i>Not membership based</i>	<i>Administrative support</i>	<i>Not focused, only part of a bigger program</i>
Idir	<i>Social works, particularly help in burial service</i>	<i>Several in Goth, open membership, has strong sanctions</i>	<i>None</i>	<i>Share experience on bylaws, support group</i>

Then analyze the role of existing community institutions in terms of the objectives, representation, etc using stakeholder analysis matrix (**Help box 11: Institutional analysis matrix: Role of institutions in forest management**).

Explain that the community institutions to implement PFM need to be legal institutions mandated to implement forest management and must represent the community group, be accountable to the group, and then summarize that there is a need for establishing a new institution.

Check consensus on the issue and allow discussion if there is other opinion on the issue.

b) Timing of establishing Community Based Organizations

Participatory forest management is about organizing collective action for the betterment of the environment and the community. It deals with coordinating and managing complex social, economic, cultural, institutional and environmental issues concerning the day to day lives of the community, of course, considering the capacity of the community in effectively handling these complex issues. Therefore, community institutions organized for PFM should be able to address such complex issues to the best interest of the group that could be treated and effectively handled within their capacity.

In PFM implementation, some PFM actors establish legal and accountable community institutions at the start of the PFM process while others along the process after PFM plan is developed. This as such does not make a significant difference but depends on the interest of the community. In some cases some community members who really have environmental concern might be willing to observe the process at the start and if we establish CBOs just while establishing the planning team the community institution might miss such concerned individuals who are observant at the start.

The mode of establishment of the community institution for PFM could vary. If there is already an indigenous forest management system with its own CBO which exists for managing the forest, then that would be the obvious organization to take the role within PFM. This is most unlikely and a rare example could be the 'Borana experience' but in most cases such traditional institutions are

degenerating and we have to explore modifying an existing community institution or must form a new institution for the purpose of PFM.

c) Legal provisions of CBOs for PFM

Community institutions for PFM are dealing with at least environmental, social and financial management issues which have individual and collective interest. These institutions need to be legal, accountable and transparent. The current legal provisions for community institutions in natural resource management are in the form of associations or cooperatives.

According to the Civil code of 1960 Article 404 associations are defined as ‘a grouping formed between two or more persons with a view to obtaining a result other than the securing or sharing of profits’. Had the purpose of PFM community institution been to solely protect the environment, then it would have been the best form of CBO but the objective is also for generating collective and individual livelihood benefits where members share the fruits of their management effort. In this case, given the current legislation in place an institution taking the form of cooperative is the best option. Cooperatives are established by individuals to solve their economic and social problems with a focus on economic activity. When it comes to PFM, economic activity is the integral part of PFM activity though not limited to it. PFM is about addressing environmental, social and financial management issues and addressing intergenerational equity though maintaining the collective good of the present and coming generations.

The best form of community institution for PFM is one that could have the form of association with the mandate to share benefits to its members and thereby can address the needs of its members and the coming generation. Establishing PFM groups in the form of cooperatives could answer this if the financial sustainability criterion is relaxed.

Nevertheless, as cooperative principle is not only of economic participation but also has concern for social aspects of the community it is the best available option for forest communities. In most cases it gives wider opportunity to link economic, environmental and social needs of the community.

However it must be noted that cooperatives are not the best fit of structure with its current emphasis and roles to PFM implementation and therefore, PFM practitioners should continue to advise policy makers to amend the legal provisions in the best way it fits to the PFM communities.

Some PFM actors have explored the legal option for PFM community by establishing forest management associations for implementing PFM plan and establishing private limited companies (PLC) for marketing NTFP and livelihood enterprises. This form has its own limitations where PFM communities are forced to establish two institutions side by side if they have to benefit from both initiatives.

2. Awareness raising and establishing forest Cooperatives

b) Awareness raising on Forest cooperatives

Explain that the legal provisions available for PFM community institutions are associations, cooperatives and joint Associations and PLCs.

Using a small discussion group ASK participants to identify the strengths and weaknesses of each type of institution and the combination of the two.

Use guiding questions to elicit responses such as the following features of each form of institution:

Table 3: Guiding questions for each forms of institution

Associations	Cooperatives	PLCs and Associations
Not possible to share benefits to members	Benefits to all members	Benefits to PLC members only
Audit by own cost	Audit by cooperative promotion office	Audit by own cost
No limited membership size	No limited membership	PLCs >50 members
Annual membership fee	One time registration fee and need to buy	Share and annual membership fee

Associations	Cooperatives	PLCs and Associations
	share	
No technical and admin support	Technical and admin support available	No technical and admin support
Inheritance of membership not possible	Possible to transfer membership to descendents	Possible if ¾ agreed
Not for profit	Tax exempted	30% tax on profit for PLC and 10% on dividend

Summarize that cooperative organizations are more suitable for PFM implementation and also possible to get technical and administrative support required for forest and livelihood development.

Allow few days for participants to discuss with their respective neighbors on the type of institution they are going to establish and set a day for the next meeting.

Hint: It is possible to establish one cooperative for one forest management group or either 3 or 4 *Goths or Gendas* at kebele level can jointly establish one Forest cooperative.

c) *Establishing forest cooperatives*

Invite an expert from the cooperative promotion office and let him/her explain the advantages of establishing cooperatives and what is expected of them to acquire a legal certificate. Summarize that they need to prepare a bylaw as a code of conduct for internal administration and a business plan to guide its business development.

Present a model cooperative bylaw prepared by one of the forest cooperatives elsewhere and discuss section by section to modify, delete and add whatever they think is appropriate taking into

account the cooperative principles and interests of the community members.

Then produce a draft set of forest cooperative bylaws. It is critical that the bylaws have graduated sanctions and must be reasonable to be implemented by members. Harsh bylaws are sometimes a result of emotionality charged arguments and when those feelings are not present the bylaws will also fail to be implemented and will have a negative influence on the implementation of reasonable sanctions. Some seemingly harsh bylaws could also be beyond the capacity of the institution to implement and therefore institutional capacity needs to be a follow up activity (**Refer Annex 1C: Example of bylaw of forest cooperatives**).

Also present a model cooperative business plan developed by one of the forest cooperatives and the PFM plan they developed. Use guiding questions to seek similarities and differences among the two documents. Summarize that the difference between cooperative business plan and PFM plan is that the PFM plan does not include livelihood development activities and financial considerations.

Plan a preparatory committee and additional members of the community or a task force established for this purpose could meet to develop a three year business plan drawing upon the existing forest management plan and livelihood development activities.

After the cooperative bylaw and business plan are completed convene a general assembly meeting to present the final draft documents for endorsement. ASK the cooperative office staff member to read out the full text of the plan. USE a question and discussion method to seek any additional clarifications.

ASK the chair of the meeting to call for a vote by a show of hands to endorse the document. As supporting documents keep records of the people participated in the meeting and keep minute of meetings as well.

d) PFM agreement development

Using question and answer ask participants the experience in their community on what two individuals do to ensure that the other party is doing what is expected of him. Make sure that the answer is that there must be a legal binding agreement between the two parties.

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Relate this situation to forest management explaining that there is a need to have PFM plan implementation agreement between the government forestry service and the community. Use brainstorming session to ASK participants to identify the link between the PFM plan and a forest management agreement. PROCESS the response to include:

- The formal agreement will allow the plan to be implemented; the plan cannot be implemented without a formal agreement and approval of the government
- The formal agreement allows formal recognition of the forest cooperative as forest manager/official partner in PFM
- The formal agreement confirms (legitimizes) the user rights proposed in the plan
- The formal agreement formally establishes the roles and responsibilities of the different parties

PROCESS and SUMMARIZE that formal and legal recognition of the PFM plan is needed before it can be implemented.

Summarize that the signing of the agreement will make the PFM agreement a legal document and secure the rights of the community and also helps them to demand technical and administrative support from government offices as per the agreement. It will not only define their rights but also specifies their responsibility towards forest management.

Present the standard template for the forest management agreement (see **Annex 1D Forest management agreement template**) to participants; brainstorm and write down the key points on a flip chart and group the responses in to the major headings of the forest management agreement.

That is:

Introduction/preamble

Article 1. Definitions

Article 2. Objectives of the agreement

Article 3. Location and condition of the forest

Article 4. Description of agreeing parties

Article 5. Benefits of the agreeing parties

Article 6.	Rights and responsibilities of the agreeing parties
Article 7.	Termination or withdrawal of the agreement
Article 8.	Duration and revision of the agreement
Article 9:	Approval and signing of forest management agreement
Article 10	Distribution of the agreement

Annexes of the agreement

- a. List of members and their signature
- b. Map of the forest
- c. PFRA report
- d. PFM plan

Approval and signing of the PFM Agreement

Organize a ceremony at which the forest management agreement is signed and official partnership is legally established. This signing of agreement is the start of a new era in forest management where the community group is becoming a responsible partner in forest management. As part of this ceremony, let the Secretary or the Chairperson or someone representing the forest cooperative present the process they have gone through and the major rights and responsibilities of the agreeing parties. This could be conducted during the ceremony at which representatives of government institutions and community are signing of the agreement. Ideally, photographs of the ceremony should be taken.

Steps that usually need to be followed in signing PFM agreement are:

- ENGAGE with all relevant government offices to take part in or attend the ceremony. In addition to the two agreeing parties, the kebele administration, woreda office of agriculture (if Forestry Enterprise is an agreeing signatory), and/or woreda Administration (if Office of Agriculture is agreeing signatory) will sign the agreement as a witness and supporter.
- IDENTIFY individuals who will represent and sign on behalf of each party and act as witnesses to signatories.
- MOBILIZE and ORGANIZE all resources and logistics necessary to ensure an inauguration and signing ceremony, making sure that all the necessary participants are informed and able to attend.

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- FIX schedule and appropriate venue for signing the agreement.
- At the signing ceremony it is expected that the PFM plan, agreement and bylaws will be signed.
- Thereafter, copies of the signed documents must be distributed to all relevant parties (e.g., the forest cooperative, the forestry service or the implementing agency and administration at different levels).



Fig.4. PFM Agreement signing- a binding legal document for PFM implementation
(Adopted from a field report data file, Zelalem, 2011)

Checklist to move to the next step

Receipt of legal certificate of forest cooperative, finalization of list of members, election of executive committee and other committees, approval of bylaws, development of business plan, development of FMA & signing of the agreement.

Time required to complete step four = 1 month

PHASE III: IMPLEMENTATION PHASE

Step 5: Capacity building and skill development for PFM plan implementation

Inputs and tools used in step five

- Technical and skill development trainings, record keeping and institutional management trainings
- Forest-based livelihood development options
- PFM plan and agreement document
- Copy of forest legislation, etc.

Main tasks of step five

Although steps five and six of the implementation phase come after the PFM planning phase, it does not mean that some activities of the implementation phase (capacity and skill development and participatory monitoring and evaluation) start only after PFM planning is finalized and agreement is signed. These activities actually start during the mobilization phase when the first PFM training is provided for community members and is continued throughout the process. The emphasis here is to highlight important activities after the signing of the PFM agreement so as to ensure effective implementation of PFM actions.

Major activities in PFM plan implementation are forest development, forest protection, forest utilization and forest monitoring activities. To effectively implement these major activities, the community needs support in the form of institutional capacity building, technical skill development and administrative support provisions.

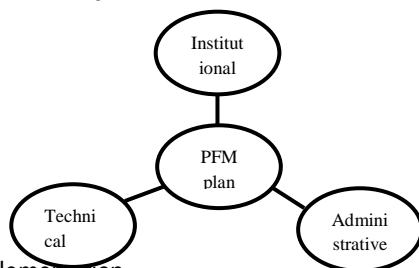


Fig.5. PFM plan implementation

1. Institutional capacity development

Capacity building and skill development is very critical for the success of PFM, in particular, institutional capacity of the community-based organizations. The institutional capacity can be expressed in several ways and can be in terms of effectiveness and efficiency of management actions through the internal bylaws, whether the bylaws are having graduated sanctions and effectively being implemented, transparency of actions taken by executive committee, and whether the committee is encouraging the participation of individual members, particularly women and the poor, and the level of understanding that governance issues may jeopardize the participation of individual members and the functions of the community institution, etc.

Assess institutional capacity together with the executive committee or body of the forest cooperatives and other sub committees. Ask participants to brainstorm qualities of a good forest cooperative/community institution. The answers for good qualities of a community institution can be summarized as having regular meetings in which more than 75% of its members are in attendance most of the time ; regular meetings are held by the Executive committee and resolutions are implemented; members know that right and responsibility are two sides of a coin; solves problems on time and easily; transparent in its activities and engagements with others; equitable share of benefits and responsibilities among members; and effective in implementing its bylaws. Other indicators include important elements such as good financial management and record keeping.

Therefore, designing the institutional capacity development interventions include actions for strengthening those good qualities of good a robust community-based institutions and organizing and facilitating specific trainings on financial management, minutes and record keeping, developing and using monitoring formats. The financial management trainings are expected to be provided by the cooperative promotion office but this needs to be coordinated by the forestry extension worker in the locality.

Some record keeping books need to be maintained by the Executive committee and be readily available for inspection. Examples of these books are Offense and Fines Book, Permit Book and Minute Book. *Note that the financial record keeping books are provided or prepared with the support of cooperative promotion office (Help box 12: Examples of record keeping books).*

Help Box 12: Examples of record keeping books

Minutes book: should be short and precise usually one or 2 pages maximum and includes Title- Minutes of meeting, date and venue of the meeting, Chairperson’s name, Secretary of the meeting, observant if any (from government’s office), the body part containing main discussion points, agreement reached, and signature of attendants.

Permit book:

Permit issued to	Date of issue and expiry	Product and quantity	Fee (if there is) and date and receipt number	Signature of Chairperson/Secretary

2. Technical skill development

In order to enhance the effectiveness and successful implementation of the PFM, regular skill development and capacity building works might be needed. Training and skill development needs could be gathered in two ways: (i) as output of the annual monitoring work, and/or (ii) by the request of the CBO administration or members. Therefore, technical skill and capacity development must be a demand-driven support to the community organization with regards to sustainable forest management trainings on topics like forest development, forest protection, forest utilization, and marketing, conflict management, financial management and administrative support.

Based on the requests from the community to implement PFM plans and annual work plans, extension staff provides technical training support demanded at a time convenient for the community. This normally is the basis for PFM related activities of forestry extension workers.

The other aspect of technical training apart from forest management is livelihood diversification training to help cooperatives develop livelihood development enterprises such as NTFP production and marketing, wood processing and value addition and market developments. The best option for livelihood development is to link the forest cooperative with other forest-based livelihood development actors working on forest-based livelihood options through establishing forest-based livelihood enterprises.

3. Provision of administrative support

During implementation of the PFM plan there could be certain instances where the forest cooperative requires external administrative support from other service providers and local administrators. It is the responsibility of the forestry extension worker to help bring such requests to the attention of relevant officers and local administrative bodies in close collaboration with the forest cooperatives. Some of the administrative support required includes community dealings with forest crime and conflict management within the community.

Forestry extension workers at local level need to facilitate to secure legal backing for the engagement of cooperatives with offenders. At a higher level, BoA, forestry enterprise and other environmental agencies need to jointly work to mainstream environmental governance at all levels. This includes that prosecutors, the police and the judiciary have to understand and appreciate the community's collective action and be concerned with the damages caused by offenders on community agreements.

Checklist to move to the next step

Efficient implementation of PFM plan and agreement, initiated livelihood development enterprises, community capacity building and skill development training offered.

Time required to complete step five and this is actually a continuous process.

Step 6: Participatory Monitoring and Evaluation and Revision

Inputs and tools used in step six

- Monitoring and Evaluation templates
- Training materials or manuals for participatory monitoring and evaluation (PM&E); Training on PM&E

Main tasks in step six

1. Participatory monitoring and evaluation

In PFM planning and implementation process all activities involve all relevant actors and the community institution is expected to coordinate the involvement of the community members. One of the major phases in PFM process which needs equal emphasis as planning PFM is the participatory monitoring and evaluation. Monitoring and evaluation is a critical step for the success of PFM where communities continuously learn from the changes they brought through their management actions. Monitoring is defined as a systematic gathering and analysis of information to check if something is changing and participatory monitoring is then monitoring activities with the active involvement of the community.

The operational process should be periodically assessed i.e., monitored and evaluated for effectiveness. The monitoring and evaluation process basically helps to attain two major objectives: i) to assess progresses in forest management successes and failures; and ii) to investigate problems encountered as well as need for capacity building. Monitoring of the implementation process should be made annually at the end of the annual work plan period. This annual monitoring should be brief, reflect on performances within a year and to identify some major constraints encountered and accordingly adjust work plan for the successive year. The monitoring processes should also assess the effectiveness, transparency and internal stability or integrity of the FMC and its management.

Steps in conducting a PM&E

a) Discuss the objectives of PM&E

The monitoring sub-committee with the involvement of the executive committee of the forest cooperative is taking the lead in forming the monitoring taskforce representing the forest cooperatives and also representatives of the government partner. This joint committee formed from representatives of both parties should handle PM&E. The committee should be about 5-7 persons. It is good if the monitoring team is provided with PM&E training at the initial stage.

To start the monitoring process and reach at the same understanding and agree on objectives, ask participants to brainstorm why they need to carry out monitoring and evaluation as part of the PFM plan implementation. The response could be to undertake corrective measures in time, prepare the next work plan, improve implementation, identify technical and administrative capacity gaps, further strengthen good implementation capacity, etc. In general, conclude that monitoring and evaluation involves two major categories, M&E of financial and institutional management of the forest cooperative and PFM plan implementation.

b) Agree on the elements to be monitored

Before starting the process of participatory monitoring, participants of the monitoring team need to agree on the elements to be monitored. Agreement can be reached through brainstorming on the major activities of the forest cooperative with respect to institutional management and PFM plan implementation are. These include forest management activities such as development, protection, and utilization and implementation of bylaws, record keeping, duties and responsibilities of different committees etc.

- **Establish the indicators for PM&E**

The next step is to establish indicators for monitoring. An indicator is something against which to measure change. The most important indicators are usually not quantifiable and qualitative indicators give more meaningful measures (**Help box 13: Tips to consider when developing indicators**).

Help box 13: Tips to consider when developing indicators

- Indicators can be qualitative or quantitative and should be relevant, reliable, specific, cost effective and timely. Note that they do not need to be perfect.
- Indicators can be measured using different formats depending on the particular context. For example, pictures and stories, measuring and counting, scaling and rating (bad, good, very good), etc.
- Learn from others experience in PFM monitoring indicators,
- “Less is more.” It is better to identify fewer indicators that are meaningful and useful than a long list that is difficult to gather and not realistic.

About 10 key issues or indicators may be selected. These indicators must be objectively verifiable or measureable variables of the forest management system. Example could be number of seedlings planted versus planned; number of regenerating seedlings and saplings since PFM; number of offences recorded since PFM etc. The M&E indicators should be established jointly.

c) Decide which information gathering tool is to be used

For each indicator or set of key information, the group chooses the most suitable information gathering tool(s) or methods that should be used to measure changes in these indicators (e.g. ranking, scoring, proportional piling, ladder diagrams, radar diagrams etc.). Before using the method ‘for real’ in the assessment, test it with community members – most methods look easy on paper but require fine-tuning once you start to use them in the field. The information gathering tools should be simple, adjusted to the capacity of the community. Tools such as participatory forest assessment, comparative assessment of work accomplished (as documented) versus plan in the PFMP

and annual plans, financial balance sheet, interviews with members, etc. can be used in addition to PRA tools as found necessary.

d) Conduct PM&E

Based on the indicators measure the changes or impacts using the agreed format. E.g. “Before and after” PFM intervention, corrective actions, etc.

Use as a guiding principle “less is more”. It is better to collect less data and actually use it than to collect data you do not use. Keep asking why particular information is needed and by whom.

e) Analyze and present results

Data analysis or “making sense of the data” is challenging and often benefits from facilitators input and guidance. It is important not to focus on data collection at the expense of analysis! It is strongly recommended to analyze the data as you collect it, because analysis often inspires new questions that require further data collection. As soon as the analysis is done results should be presented to the FMC general assembly for reflection and learning. The reflection meeting of the general assembly should also reflect on the why, how, when problems happened and list down a tentative gap analysis for which they demand skill development or capacity building.

g) Making use of the PM&E findings

Use results in decision making, planning, implementation, and management of the PFM activities. Based on the results, revision of the plan may be made as necessary to improve performance and gain achievement of goals and objectives.

Moreover, a regular five year rigorous evaluation of the PFM processes should be conducted. The evaluation processes needs to develop protocol and indicators by a joint committee of CBO and government representatives. The major component of the evaluation protocol should comprise degree of achievements of the FMP, internal stability and transparency of the CBO administration, law enforcement processes and others. Evaluation should be conducted at the end of the FMP period. The evaluation process should be bi-directional i.e., not only the state counterpart should target the assessment for

the performance of the FMC but also the other way round whereby the community assesses whether the state counterpart is performing its roles and responsibilities. Hence, the purpose of the evaluation should be to reflect on the achievements of both parties whether they are "on course" to achieve the long aims of PFM, and if necessary to make adjustment on their future ways of doing things. Hence, this phase is where the two parties learn from their successes, failures and challenges. Therefore, it will help them to re-adjust some of the fundamentals such as re-negotiate on benefit sharing scheme, roles and responsibility, capacity needs and others.

Checklist to move to the next step

- PM&E procedure and set of indicators to be used for following PM&E, PM&E report, actions from monitoring and List of identified issues for action, follow up report of actions

Time required to complete step six

This step could be finalized in one month's time. The total time required for the whole PFM process could be between 6 to 9 months and if all stakeholders are committed to establish the system, it can be finalized in less than 6 months.

Annexes

Annex 1: Templates and tools

A) PFRA Template

- Plot Assessment Form
- PFRA Report Form

B) Example of Forest Management Plan Template

C) Example of Forest Cooperatives Bylaw

D) Example of Forest Management Agreement Template

E) Format of minutes of meeting

F) PM&E Report Template

A) PFRA template

• **PFRA Plot Assessment Form**

Note: It is essential that the guidance notes for completing this form are read in detail before filling the form

Forest/compartment name:			
Plot number:		Date:	

Plot: Fixed point sample (Ocular and basal area)				
1. Basal area (No. of trees through relascope)				
2. Fire evidence:		Yes (comment):		No:
3. Soil exposure: High, Medium, Low				
4. Felling intensity:				
5. Grazing intensity: Class as high, medium or low, based on evidence of grazing paths, tracks, browsing etc., and discussion with the PFRA community team.				
6. Crown cover: (For both upper and lower canopy if appropriate)		Closed	Moderate (<70%)	Open (<30%)
		Upper		
		Lower		
7. Natural regeneration: (Below 2m height)		Species:	Plentiful	Moderate
				Scarce
				None
8. Description of natural regeneration. (Describe size/age and condition of natural regeneration).				
9. Main important species: (Commercial, community, fodder, NTFPs)				

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10. Dominant species: (For both upper and lower canopy if appropriate)	
11. NTFP utilization patterns, who uses what?	
12. Development potential of important NTFPs	
13. Market opportunity of NTFPs	
14. Quality of the forest (Government and community perspectives)	
15. Forest/land class: Description of forest and size class structure. Brief description of the plot, including any important features.	
16. Main uses of the forest (mainly community, for the plot, not forest in general)	
17. Problems and issues with the resource (mainly community, for the plot, not forest in general).	

B) PFRA Report Template:

Name of Forest: _____

Date of assessment: _____

(Q. 11,12,13) **General description:**

(Q. 14) **Problems and issues with the resource**

Area assessed and sampled

Total area assessed: _____ Number of sample plots:

Assessment Team: Community and Woreda foresters

(Q. 1) **Basal Area**

Basal area counts: _____

Average basal area: _____

Range: _____

Basal area	Number of Counts

Implications for management:

(Q. 2) **Fire:**

Implications for management:

(Q. 3) **Soil exposure:**

High: _____ Medium: _____ Low: _____

Implications for management:

(Q. 4) **Felling intensity:** _____

Implications for management:

(Q. 5) **Grazing intensity:**

Implications for management:

(Q. 6) **Crown cover:**

Closed: _____ Moderate: _____ Open: _____

Implications for management:

(Q. 7, 8) **Regeneration:** Plentiful: _____ Moderate: _____ Scarce: _____
None: _____

Implications for management:

(Q. 9) **Main important species:**

Implications for management:

(Q. 10) **Dominant species:**

Implications for management:

(Q. 11) **NTFPs utilization pattern:**

Implications for management:

(Q. 12) **NTFPs development potential:**

Implications for management:

(Q. 13) **NTFPs market opportunity:**

Implications for management:

Annex 1B. Example of Forest Management Plan Template

- i) Introduction
- ii) Description of the forest
- iii) Objectives of the forest management plan
- iv) Forest management actions
 - ◆ Forest development actions
 - ◆ Forest utilization actions
 - ◆ Forest protection actions
 - ◆ Forest monitoring actions
- v) Participatory monitoring and evaluation
- vi) Revision of the management plan
- vii) Approval of the management plan

Annex 1C. Forest Management Cooperative Bylaw Template

Region: _____

Zone: _____

Woreda: _____

_____ **Forest Management Cooperative bylaw (limited liability)**

Date and place

Forest Management Cooperative Bylaw

Part One

Article 1: Name of the cooperative:

_____ Forest Management Cooperative
(limited liability)

Article 2: Location:

Region: _____

Zone: _____

Woreda: _____

Kebele: _____

Article 3: Place of Business:

1. **North:** _____

South: _____

East: _____

West: _____

2. **Type of Operation:** _____

Article 4: Purpose and activities of the cooperative

- 1: The purposes of the Cooperative are: (take articles from the objectives of the forest management plan and other purposes of livelihood improvement objectives)

- 2: Activities of the cooperative (take list of activities from forest management plan and some activities of cooperative management)

Examples could be: Provide training to members on forest management principles; Prepare and periodically review forest management plan in collaboration forestry service personnel; Market forest and NTFPs (coffee, Spices, honey etc.,,) gathered collectively or individually from thier managed forest, develop and market forest and NTFPs; identify and plant tree seedlings through enrichment planting and new planting; Ensure that all members carefully implement forest management actions of forest development; protection, monitoring, and utilisation plans. Collect membership fee and share payments; establish nursery and produce seedlings; based on the interest of members engage in other activities that will benefit them, In collaboration with the concerned stakeholder encourage women participation, etc.;But make sure the activities are listed in the Management Plan and agreement.

Article 5: Guiding principles of the cooperative

The cooperative will be guided to achieve its objective by the following principles. take the 7 cooperatives principles: a); b); c); d); e); f); and g)

Part Two

Article 6: Eligibility of Membership

Any person, who fulfills the following criteria, can be a level one or two member of the forest management cooperative; (list the seven criterions such as a) Any person living in the operation area of the cooperative and if accept to implement forest management plan and agreement he/she can be full member, b) Any person not living in the operation area of the cooperative but whom the community has approved him as having traditional use-right of NTFP and is willing to accept and implement forest Management plan and agreement might be accepted as an associate members if the community is willing to accept him as a member, c) accept and implement bylaw and decisions of the cooperative, d) above the age of 14; e) who is able to pay membership and share payments,

Article 7: Application for membership

(List the five points from cooperative law, standard)

Article 8: Payment of membership

Take lists from the standard conditions for cooperatives directives and other as discussed. Examples could be;

- a) Any person who wants to be a member when approved he/she shall pay _____Birr as a registration fee,
- b) In relation to forest and NTFP utilisation, members will pay utilization fee to the cooperative,
- c) Full members shall pay forest utilization fee of Birr _____ while associate members shall pay_____ birr.

Article 9: Payment of share

Take lists from the standard conditions for cooperatives directives and other as discussed. Examples could be;

The capital stock of the cooperative shall consist of _____ shares par value of _____ birr per share and the society may sell additional shares to raise its capital.

- a) If agreed to pay interest on shares purchased the interest should not be more than the saving interest of the banks,
- b) If loan is given to members the interest should be between the saving and loan interest of banks.
- c) Etc...

Article 10: Register of members

Take lists from the standard conditions for cooperatives directives and other as discussed.

Article 11: Rights of members

List standard rights and add that suite forest management groups.

Members shall have the following rights; for example rights specified in the forest management plan, rights specified in forest utilisation plan, rights specified in forest and NTFP marketing plan, full members have the right to participate in the meetings of the society, to vote and to get loan service,

Article 12: Responsibilities and prohibited activities of members

12.1 Responsibilities of members

List the standard ones and add relevant to forest cooperatives examples could be; responsibilities mentioned in forest management plan and agreement; to respect the by-laws, directives and decisions of the society; to perform those activities which ought to be performed in accordance with the approved plan and directives of the society; to pay for share of capital and registration fee; etc...

12.2 Prohibited activities

List the standard ones and add relevant to forest cooperatives examples could be; developing new settlement, for any purpose be it for coffee development or agricultural expansion, and etc...

Article 13: Joint Responsibilities

State the standard in case of dissolution.

Article 14: Transfer of share or benefits

State the standard in case of transfer.

Article 15: Dismissal of membership

State the standard in case of dismissal.

Article 16: Conditions that do not allow to be elected as a committee member

List common ones which have implications on commitment, has conflict of interest and legal issues for example; A person who is member of the cooperative but less than 18 Years of age; has several other responsibilities; A person who took loan and did not repay on time due to unsatisfactory reasons, is a relative of the manager of the cooperative, etc...

Part Three

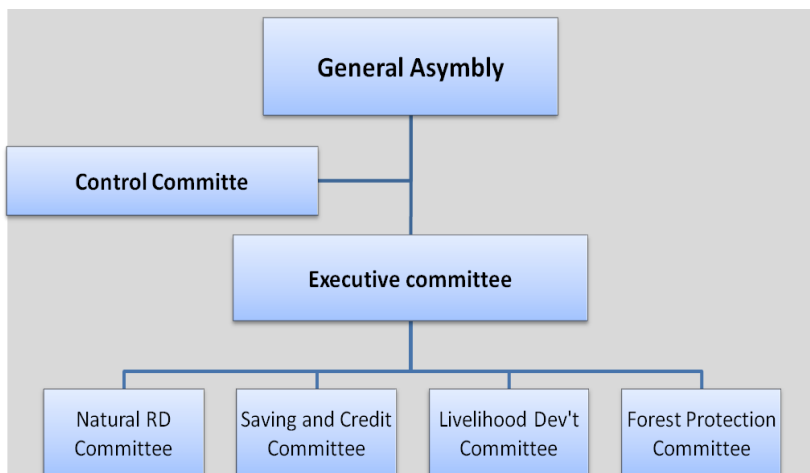
Article 17: Organizational structure of the cooperative

The supreme organ of any society shall be the general assembly. And has the following organs

1. Control committee: has three members and these are Chairperson, Secretary and one/three members

SCALING-UP PARTICIPATORY FOREST MANAGEMENT PROJECT, ETHIOPIA

2. Executive/Management committee has seven members and these are Chairperson, Vice-chairperson, Secretary, three other committee chairpersons (Natural resources development, livelihood development and saving and credit chairpersons), and one accountant. In addition non-voting members could be added depending on the nature of their activity such like cashier, purchaser, sales etc ...
3. Natural Resources Development Committee (Chairperson, Secretary and one/three members)
4. Livelihood Development Committee (Chairperson, Secretary and one/three members)
5. Saving and Credit Committee (Chairperson, Secretary and one/three members)
6. Forest Protection Committee (Chairperson, Secretary and one/three members)
7. Other committees could also be formed depending on the need.



Article 18: Powers and Duties of the General Assembly

List the standards mentioned in proclamation 147/98 and others which you think important and also include how general assembly is called from the same. Examples are; The General Assembly is the meeting of all members; all full members must in person attend the meeting; All members have equal voting power regardless of share holdings; General assembly dates and venue must be communicated to all members (full and associate) 15 days in advance; The General assembly will be carried out twice a year and if need be the executive committee can call a meeting; If 1/3 of the full members request for the general assembly meeting, the meeting can be called with advance notice of 30 days; if meetings were not carried out as planned, the concerned government authority can call the general assembly meeting; approve implementation of directives developed by each committee; etc....

Article 19: Executive Committee

List the standard, examples are; the executive committee has ____ (7) members; the office term is 2 or 3 years and he/she can be reelected for second term or can be dismissed by the general assembly; etc...,

Article 20: Power and Duties of the Executive Committee

List the standard, and the powers and duties of the executive committee may include; maintain the minutes of a meeting in writing; maintain the documents and books of accounts of the cooperative; Prepare the annual work programme and budget and implements the same upon approval; and other duties assigned by the general assembly.

Article 21: Power and duties of executive committee members and the cooperative manager

Chairperson: list example; the chairperson will be elected by the general assembly; chair meetings of the executive committee and general assembly meetings, represent the cooperative concerning objectives and activities of the cooperative; ensure bylaws of the cooperative is implemented; approve all expenses and sign on checks, agreements etc, and etc...

Vice-Chairperson: the vice-chairperson is elected by the general assembly, he/she supports the chairperson in undertaking its responsibility; and in absence of the chairperson he/she will replace the chairperson and perform her duty.

Secretary: the secretary will be elected by the general assembly and will have the following responsibility; list agreed responsibilities agreed the general assembly; examples could be, write and keep minutes of the executive committee and the general assembly; keep all correspondence with other institutions; and etc...

Cashier: the cashier will be elected by the general assembly and will have the following responsibilities; examples could be; ensure that all incomes and expenses are registered; ensure that all cash, resources of the cooperative are used for the purpose of the cooperative; make payments only when approved by the concerned authority of the cooperative; and etc....

Accountant: the accountant will be elected by the general assembly and will have the following responsibilities; examples could be; prepare income and expense of the cooperative; in collaboration with the control committee ensure that unpaid loans are collected, ensure unsettles accounts are cleared, and etc....

Manager: the manager is answerable to the cooperative promotion office (if employed by the cooperative promotion office) or to the executive committee if employed by the cooperative. (Check this with coop office?) List deities and responsibilities for example He /she will be responsible for the proper implementation of the day to day activities of the cooperative, ensure that bylaws, directives and procedures of the cooperative are properly implemented; and etc...

Article 22: Power and duties of the control committee

The control committee members will be elected by the general assembly for a term of three years and members of the committee can be elected for the second term. The committee will have the following power and duties; Control that the resources of the cooperative are properly used for the achieving the objectives of the cooperative, control that the executive committee and other committees are

properly undertaking their responsibilities according to the bylaws and directive of the cooperative; report to the general assembly on the performance of the cooperative and etc....

Article 23: Powers and Duties of the natural resources development committee, livelihood development committee, and forest protection committee

Natural Resources committee: the natural resources development committee will be elected by the general assembly and will have the following responsibility; coordinate and engage in planning of forest development activities, mobilize members for the proper implementation of natural development plans; facilitate training on NRD activities, and etc...

Livelihood development committee: the livelihood development committee will be elected by the general assembly and will have the following responsibility; coordinate and engage in planning livelihood activities that will benefit members; ensure plans are implemented; in collaboration with other stakeholders bringing new technologies that will increase livelihood income; and etc...

Forest protection committee: The forest protection committee will be elected by the general assembly and will have the following responsibility; ensure that forest protection plans of the cooperative are implemented; engage in developing monitoring system and implementing forest monitoring plans in collaboration with other committees and etc....

Part Four

Article 24: Saving and Credit

Saving and credit committee will be elected by the general assembly for a term of three years and can be re-elected for the second term. The committee will have three members or five members.

Article 25: Power and duties of the saving and credit committee

Take lists from the standard responsibilities of a saving and credit cooperatives directives.

Article 26: Issuing credit

Take lists from the standard responsibilities of a saving and credit cooperatives directives.

Article 27: Approval of credit

Take lists from the standard responsibilities of a saving and credit cooperatives directives.

Article 28: Loan period

Take lists from the standard responsibilities of a saving and credit cooperatives directives.

Article 29: interest rates

Take lists from the standard responsibilities of a saving and credit cooperatives directives.

Article 30: Sequence of loan repayment

Take lists from the standard responsibilities of a saving and credit cooperatives directives.

Article 31: Balancing other benefits with loan repayment

Take lists from the standard responsibilities of a saving and credit cooperatives directives.

Article 32: Eligibility for loan

Take lists from the standard responsibilities of a saving and credit cooperatives directives.

Article 33: Conditions of loan disbursement

Take lists from the standard responsibilities of a saving and credit cooperatives directives.

Part Five

Article 34: Conditions of handling cash

Take lists from the standard responsibilities of cooperatives directives. Examples could be; the pity cash allowed in the cash box is maximum _____birr;

Article 35: Major financial documents and reports

Take lists from the standard responsibilities of cooperatives directives. Examples are; cash receipt voucher, payment voucher, payment authorization form; income and expense register, annual financial reports must be prepared and reported, etc...

Article 36: Per diem and other payments

Take lists from the standard responsibilities of cooperatives directives and other as discussed.

Article 37: Returning shares and other benefits to members

Take lists from the standard responsibilities of cooperatives directives and other as discussed.

Article 38: Conditions for getting insurance coverage

Take lists from the standard responsibilities of cooperatives directives and other as discussed.

Article 39: Share or benefits of a member are not liable to attachment or sale

The share or benefit of a member shall not be liable to attachment or sale to cover other agreements he /she entered outside the cooperative.

Article 40: Auditing

Take lists from the standard responsibilities of cooperatives directives and other as discussed.

Article 41: Settlement of dispute

Take lists from the standard responsibilities of cooperatives directives and other as discussed.

Article 42: Allocation of Net-profit

Take lists from the standard responsibilities of cooperatives directives and other as discussed.

Article 43: Reserve account

Take lists from the standard responsibilities of cooperatives directives.

Article 44: Indivisibility of assets and funds of the cooperative

Take lists from the standard responsibilities of cooperatives directives.

Article 45: Fiscal year of the cooperative

The fiscal year of the cooperative starts at _____ month and ends at _____ month of the year.

Article 46: Dissolution of the cooperative

Take lists from the standard responsibilities of cooperatives directives and a serious damage is caused to the natural resources by the cooperative members.

Article 47: Definition of terms in this bylaw

In this bylaw unless the context otherwise requires the definition given by the general assembly is the final.

Article 48: Amendment of this bylaw

Take lists conditions from the standard cooperatives directives and this includes that bylaws can be amended if approved and signed by 2/3 of members.

Article 49: Responsibilities of outgoing committee members

Take lists from the standard responsibilities of cooperatives directives. Examples could be; All outgoing committee members should immediately handover all resources of the cooperative to the newly elected committee members; and etc...

Article 50: Issuing internal bylaw

The executive committee based on this bylaw can develop an internal regulation and directives that will help proper implementation of activities and programmes and will implement them when approved by the general assembly.

Article 51: Effective date of this bylaw

Annex 1D. Forest Management Agreement Template

Cover page of the forest management agreement:

<p>Participatory Forest Management Agreement Signed</p> <p>Between</p> <p>_____ Forest User Group</p> <p>and</p> <p>_____ as an Implementing Institution</p> <p>Technical Advisory Support from _____ Project</p> <p>Date and Place</p>
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1. INTRODUCTION

(The introduction of the forest management agreement will have a maximum of one page. The introduction part mainly includes: Rationale for implementing participatory forest management with active involvement of the community living in and around forest areas that are identified for PFM implementation; needs to clearly state the objectives of the agreement, supportive legal frameworks or articles for the agreement and steps followed to reach the agreement.)

1.1 Basic principles of the agreement: Experiences so far gained within and outside Ethiopia in forest management have clearly shown that conventional forest management efforts have not halted forest degradation and either not contributed to sustainable livelihood development. In the conventional approach, the community is not legally exercising its traditional forest use right and responsibility in forest development, conservation and utilization, rather considered as the main causes for increased rate of forest degradation by widely practicing agricultural activities without considering appropriate conservation measures.

To this effect, _____ Participatory Forest Management Project has been designed and implemented to develop participatory forest management approach and developed this forest management plan to be implemented within the framework of this agreement.

1.2 Supportive legal frameworks for the agreement: This forest management agreement and its implementation fits into the federal and regional forest policy and legislation frameworks. Therefore, it is important to precisely capture the policy and legal frameworks of the federal and regional governments in order to clearly indicate the legal provision to support the agreement and encourage the community to be actively involved in forest conservation, development and utilization of the forest resource that can ensure the benefit sharing arrangements to the community as per the agreement.

The steps followed to formulate this agreement are supporting the community to develop participatory forest management plan that has two major steps notably investigation and negotiation and the later deals with rights and responsibilities, the development of participatory forest assessment methodology and participatory forest resources assessment which is part of the investigation stage and developing this agreement through discussion with community.

2. DEFINITIONS OF TERMS

In this part of the agreement, it is vital to clearly define some terms and terminologies that are accommodated in the agreement with the context of the forest management agreement to establish common understanding between agreeing parties and avoid unnecessary misunderstandings on the concept.

3. OBJECTIVE OF THE AGREEMENT

The sole objective of this forest management agreement is to define rights and responsibilities of the surrounding community, government institutions and other stakeholders in implementing forest management plan effectively. In addition to the overall objective, the specific objectives are: (i) to ensure benefit sharing arrangements for the community, (ii) to establish community-based organization to be responsible for sustainable management of forest resources and (iii) to increase community involvement and ownership in managing the forest resource.

4. LOCATION AND CONDITION OF THE FOREST

This part is extracted from the Participatory Forest Management Plan summarizing the location of the forest and its size. It should not be more than one paragraph. This part is well described in the Participatory Forest Resources Assessment and its summary is put into the PFM plan.

This part is also extracted from the Participatory Forest Management Plan summarizing the condition of the forest and its resources. Similarly, it should not be more than one paragraph. This part is also well described in the Participatory Forest Resources Assessment (PFRA) and its summary is put into the PFM plan.

5. DESCRIPTION OF THE AGREEING PARTIES

5.1 Capture responsible government institution

_____ is the agreeing and contracting party representing the government as responsible institution in providing technical support for sustainable forest management and enforcement of regulatory framework is given to the Authority.

5.2 Forest User Group

(Institutional arrangement about the committee representing the community should be clearly stated in this section). Overall, it is expected to extract few institutional arrangement and state in few lines.

6. BENEFITS, RIGHTS AND RESPONSIBILITIES

6.1 BENEFITS OF THE AGREEING PARTIES

6.1.1 Benefits of DOA

6.1.2 Benefits of FUG

6.2 Rights and responsibilities of the agreeing parties

6.2.1 Rights of government institution

The right of the supporting government institution is mainly to monitor that the FUG is managing the resources properly and according to the agreed plan.

6.2.2 Rights of FUG

The right of the FUG is to Manage and use the forest according to the agreed plan in order to improve the forest condition and increase the direct benefits and forest based livelihood options.

6.3 Duties

6.3.1 Duties of DOA

6.3.2 Duties of FUG

6.4 Responsibilities

6.4.1 Responsibilities of DOA

6.4.2 Responsibilities of FUG

6.5 Duties and responsibilities of other stakeholders

In this paragraph, it is important to highlight in brief the duties and responsibilities of other key stakeholders like local administrations at Kebele and Project Woreda levels in supporting in administration matters; police and local courts in settling disputes that might arise between the agreeing parties and taking appropriate decisions in managing illegal users of the forest resources.

7. TERMINATION OR WITHDRAWAL OF THE AGREEMENT

8. DURATION AND REVISION OF THE AGREEMENT

The duration of the agreement should be clearly stated. It is also important to indicate the condition of revision of the agreement based on the written notification of either one of the agreeing parties by taking into consideration the new developments that were not foreseen before the signing of the agreement.

9. APPROVAL AND SIGNING OF THE AGREEMENT

For the Implementing Institution

For the Forest User Group

Name : _____

Name : _____

Date : _____

Date : _____

Signature: _____

Signature : _____

WITNESSES

1. _____

2. _____

10. DISTRIBUTION OF THE AGREEMENT

The agreement shall be prepared in three copies, two for the implementing institution and the third copy is for the Forest User Group.

11. Annexes

- 11.1 PFM Plan
- 11.2 PFRA methodology adopted
- 11.3 PFRA report
- 11.4 List and signature of members
- 11.5 FUG area map

E) Template for minutes of meeting

Starting from awareness creation and throughout PFM implementation process minutes of meetings shall be prepared, signed and documented. The main focus of the minute will be based on the consultation process followed, issues discussed and agreed upon issues and the next step. These minutes of meetings will serve as evidences for the consultation process followed and agreed action points for PFM implementation at community level.

It is also important to note that minutes of meetings should be kept simple describing date of meeting, venue, attendants, and the main issues of discussion, agreed points or follow up actions, name of facilitator and minute taker following the format below.

Sample of Minute of Meeting for PFM Implementation

Reference No. _____

Facilitator /Chair person _____

Date of meeting: _____

Venue: _____

Time: _____

List of participants/attendants and minute taker should be indicated:

The main agenda items discussed:

Agreed points and next step:

F) PM&E Report Template

Actually, the implementation of PFM activities is ensuring the critical involvement of the beneficiary community at all stages of PFM implementation. In this context, the PM&E is a tool for performance management and based on close monitoring and evaluation we can easily assess the progress of the project implementation, identify key constraints and challenges and seek appropriate correction measures in order to alleviate the problems encountered for better performance. In addition the PM&E system will allow us to identify best practices for proper documentation and formulate it in such a way to further disseminate for scaling up of these practices to similar areas. Furthermore, it is highly important to note that the PM&E system shall be performance based and maintain more participatory nature and critically involves the beneficiary community and other stakeholders.

Overall, the PM&E system needs to have the following characteristics:

- ◆ The PM&E system needs to be simple and easy to apply,
- ◆ It should allow to critically involve the community at a wider scale and that can also allow ,
- ◆ Integration and complementarity with existing systems,
- ◆ Ensuring accountability,
- ◆ Possibility of using previous data collected and documented,
- ◆ The system should allow us to accommodate corrective measures in order to improve them further,
- ◆ Performance based and can ensure effectiveness of activities,

General sample of a more simplified reporting format for PM&E system is presented below.

SCALING-UP PARTICIPATORY FOREST MANAGEMENT PROJECT, ETHIOPIA

1. Introduction
 - 1.1 General description
 - 1.2 General and specific objectives
 - 1.3 The current reporting period is covering from _____ to _____
 - 1.4 Description of the project area
2. Major achievements vs planned activities
 - 2.1 Major activities planned for the reporting period
 - 2.2 Major achievements (physical and financial performance)
 - 2.3 Activities revised and planned for the next reporting period
3. Constraints and challenges encountered
4. Recommended corrective measures and action points for the next step

Annexes. Necessary annexes should be attached for evidence and proof